EXHIBIT 5

FORM ADV

UNIFORM APPLICATION FOR INVESTMENT ADVISER REGISTRATION AND REPORT BY EXEMPT REPORTING ADVISERS

Prin	mary Business Name: ELLIO	TT MANAGEMENT CORF	PORATION	CRD N	lumber: 156601				
Ann	ual Amendment - All Section	ıs			Rev. 10/2012				
3/3	1/2015 9:01:11 PM								
WA	·	•	•	al of your application, revocation of your registrati	on, or criminal				
Iter	m 1 Identifying Information								
Res	sponses to this Item tell us w	ho you are, where you a	are doing business, and how we ca	n contact you.					
A.	A. Your full legal name (if you are a sole proprietor, your last, first, and middle names): ELLIOTT MANAGEMENT CORPORATION								
В.	Name under which you prim		ory business, if different from Item	1.A.:					
	List on Section 1.B. of Schedu	ule D any additional name	es under which you conduct your adv	visory business.					
C.	If this filing is reporting a change change is of ☐ your legal name or ☐ you			me (Item 1.B.), enter the new name and specify ${\sf w}$	hether the				
D.	. , ,		nent adviser, your SEC file number: adviser, your SEC file number:	801-73640					
E.	If you have a number ("CRD	Number") assigned by t	the FINRA's CRD system or by the I.	ARD system, your <i>CRD</i> number: 156601					
	If your firm does not have a (CRD number, skip this Ite	em 1.E. Do not provide the CRD num	ber of one of your officers, employees, or affiliates.					
F.	Principal Office and Place of Business								
	(1) Address (do not use a P Number and Street 1: 40 WEST 57TH STREET City:	P.O. Box): State:	Number and Street 2: Country:	ZIP+4/Postal Code:					
	NEW YORK	New York	UNITED STATES	10019					
	If this address is a priva	ate residence, check this	box: 🗆						
	you are applying for regi which you are applying fo	istration, or are registered or registration or with who	d, with one or more state securities a om you are registered. If you are ap	of business, at which you conduct investment advise outhorities, you must list all of your offices in the state olying for SEC registration, if you are registered only ces in terms of numbers of employees.	te or states to				
	(2) Days of week that you i	•	ss at your <i>principal office and place</i>	of business:					
	Normal business hours 8:30AM-5:30PM (3) Telephone number at th								
	212-974-6000 (4) Facsimile number at this 212-478-2476	s location:							
G.	Mailing address, if different from your <i>principal office and place of business</i> address:								
	Number and Street 1:		Number and Street 2						
	City:	State:	Country:	ZIP+4/Postal Code:					
	If this address is a private	residence, check this box	x: 🗆						
Н.		state your full residence		ncipal office and place of business address in Item 1.	F.:				
	Number and Street 1:	Chahai	Number and Street 2						
	City:	State:	Country:	ZIP+4/Postal Code:	V N.				
I.	Do you have one or more w	vebsites?			Yes No				

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 3 of 80

If "yes," list all website addresses on Section 1.I. of Schedule D. If a website address serves as a portal through which to access other information you have published on the web, you may list the portal without listing addresses for all of the other information. Some advisers may need to list more than one portal address. Do not provide individual electronic mail (e-mail) addresses in response to this Item. Provide the name and contact information of your Chief Compliance Officer: If you are an exempt reporting adviser, you must provide the contact information for your Chief Compliance Officer, if you have one. If not, you must complete Item 1.K. below. Name: Other titles, if any: Telephone number: Facsimile number: Number and Street 1: Number and Street 2: ZIP+4/Postal Code: City: State: Country: Electronic mail (e-mail) address, if Chief Compliance Officer has one: Additional Regulatory Contact Person: If a person other than the Chief Compliance Officer is authorized to receive information and respond to questions about this Form ADV, you may provide that information here. Name: Titles: Telephone number: Facsimile number: Number and Street 1: Number and Street 2: City: Country: 7IP+4/Postal Code: State: Electronic mail (e-mail) address, if contact person has one: Yes No Do you maintain some or all of the books and records you are required to keep under Section 204 of the Advisers Act, or similar state law, **6** \circ somewhere other than your principal office and place of business? If "yes," complete Section 1.L. of Schedule D. Yes No M. Are you registered with a foreign financial regulatory authority? \circ **(** Answer "no" if you are not registered with a foreign financial regulatory authority, even if you have an affiliate that is registered with a foreign financial regulatory authority. If "yes," complete Section 1.M. of Schedule D. Yes No N. Are you a public reporting company under Sections 12 or 15(d) of the Securities Exchange Act of 1934? \odot If "yes," provide your CIK number (Central Index Key number that the SEC assigns to each public reporting company): Yes No O. Did you have \$1 billion or more in assets on the last day of your most recent fiscal year? \circ ⊚ Provide your Legal Entity Identifier if you have one: SUHPWJ4TBNAH1YMQM073 A legal entity identifier is a unique number that companies use to identify each other in the financial marketplace. In the first half of 2011, the legal entity identifier standard was still in development. You may not have a legal entity identifier. **SECTION 1.B. Other Business Names** List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D Section 1.B. for each business name. Name: ELLIOTT CAPITAL ADVISORS, L.P. (RELYING ADVISER) Jurisdictions AL □ мо PA ID ID ☐ AK IL 🔲 □ MT PR AZ ☐ IN ☐ NE RI 🔲 AR IA □ NV ☐ SC ■ NH CA KS SD SD □ со ☐ KY □ NJ ☐ TN CT □ LA ■ NM □ TX UT ✓ NY DE ME □ MD □ NC ☐ DC □ VT

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 4 of 80 ☐ FL ■ ND ☐ VI □он ☐ GA MI □ VA ☐ GU MN □ок □ WA ☐ HI MS OR ☐ WI Other: List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D Section 1.B. for each business name. Name: ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC. (RELYING ADVISER) Jurisdictions □ мо 🔲 AL □ ID □ РА ☐ AK □ IL □ MT PR AZ ☐ IN ☐ NE RI AR IA NV ☐ sc ☐ NH CA KS SD □ со □ KY ☐ NJ □ TN CT LA ■ NM □ TX DE ME **✓** NY UT ☐ DC ☐ MD ☐ NC □ VT 🔲 FL □ MA □ ND □ VI ☐ GA MI □ он □ VA ☐ GU MN □ ок □ WA III HI ■ wv ☐ MS OR □ WI Other: List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D Section 1.B. for each business name. Name: ELLIOTT SPECIAL GP, LLC (RELYING ADVISER) Jurisdictions ☐ ID PA AL □ мо ☐ IL □ MT PR ☐ AK AZ IN ☐ NE RI ☐ AR ☐ IA ■ NV ☐ SC CA KS ☐ NH SD □ со KY ☐ NJ ☐ TN СТ LA MN □ TX ☐ DE ME ✓ NY UT ☐ DC ■ MD ☐ NC □ VT FL MA ■ ND ☐ VI □он ☐ GA ☐ MI □ VA ☐ GU □ WA MN □ ок ☐ HI MS OR ☐ WI Other: List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D Section 1.B. for each business

Name: ELLIOTT SPECIAL MANAGER, LLC (RELYING ADVISER)

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 5 of 80

Jourseictions AL
Ax
Name: PAUL E. SINGER (RELYING ADVISER) Jurisdictions Name: PAUL E. SINGER (RELYING ADVISER) Jurisdi
AR
□ CA □ □ KS □ NH □ SD □ NH □ TN
Co
CT
CT
DE
Complete the following information for each office, other than your principal office and place of business, at which you conduct investment advisory business. Complete the following information for each office, other than your principal office and place of business, at which you conduct investment advisory business.
FEL GA MI OH OH VI GU MIN OK WA HI OK WW WI OTHER: List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D Section 1.B. for each business name. Name: PAUL E. SINGER (RELYING ADVISER) Jurisdictions AL ID MO PA AK IL MIT PR RA IA NW SC CA SS NH SD CO KY NI TIN CC CA SS NH SD CC CA SS NH SD CC MR NM TIN CT LA NM TIN CT CA MB ND VI CT CA MB ND VI CT CA MB ND VI CT MB MA ND VI CT MB MA ND VI CT MB MM COK WA CHAPTER OF SECTION 1.F. Other Offices Complete the following information for each office, other than your principal office and place of business, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or
GA MI OH CVA WA WA WA WA WA WA WA
List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D Section 1.B. for each business name. Name: PAUL E. SINGER (RELYING ADVISER) Jurisdictions AL
List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D Section 1.8. for each business name. Name: PAUL E. SINGER (RELYING ADVISER) Jurisdictions
List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D Section 1.B. for each business name. Name: PAUL E. SINGER (RELYING ADVISER) Jurisdictions AL
List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D Section 1.8. for each business name. Name: PAUL E. SINGER (RELYING ADVISER) Jurisdictions
List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D Section 1.8. for each business name. Name: PAUL E. SINGER (RELYING ADVISER) Jurisdictions
List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D Section 1.8. for each business name. Name: PAUL E. SINGER (RELYING ADVISER) Jurisdictions AL
Name: PAUL E. SINGER (RELYING ADVISER) Jurisdictions AL
Name: PAUL E. SINGER (RELYING ADVISER) Jurisdictions AL
Name: PAUL E. SINGER (RELYING ADVISER) Jurisdictions AL
Name: PAUL E. SINGER (RELYING ADVISER) Jurisdictions AL
Name: PAUL E. SINGER (RELYING ADVISER) Jurisdictions AL
Jurisdictions AL
Jurisdictions AL
AL ID MO PA AK IL MT PR AZ IN NE RI AR IA NV SC CCA KS NH SD CCO KY NU TN CT LA NM TX DE ME VT DC MD NC VT FL MA ND VI GA MI OH VA GG MN OK WA CT WM CT OH OK WY CT OT OTHER CONTINUES SECTION 1.F. Other Offices Complete the following information for each office, other than your principal office and place of business, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or
AL ID MO PA AK IL MT PR AZ IN NE RI AR IA NV SC CCA KS NH SD CCO KY NU TN CT LA NM TX DE ME VT DC MD NC VT FL MA ND VI GA MI OH VA GG MN OK WA CT WM CT OH OK WY CT OT OTHER CONTINUES SECTION 1.F. Other Offices Complete the following information for each office, other than your principal office and place of business, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or
AK
AK
AZ
AR
CA CO KY NJ TN TX DE ME ME ME MO NC NC VT ND GA GA MI OH OK MN MN OK MN
CO
CT DE ME NN NY UT VT VT ND VI GA MI OH OK HI OK OR WW WI Other: SECTION 1.F. Other Offices Complete the following information for each office, other than your <i>principal office and place of business</i> , at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or
DE
DE
DC FL MA MD ND VI VI VI VA OK HI MS OR WV WI WI Other: SECTION 1.F. Other Offices Complete the following information for each office, other than your <i>principal office and place of business</i> , at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or
GA GU HI OH OK WA WW WI OTH
GA GU HI OH OK WA WW WI OR OH OK OR OH OK WY OR OH OH OK OR OH OH OK OR OH OK OR OH OH OK OR OH OH OK OR OH OH OK OR OH
GU HI OK OR WA WV WI Other: SECTION 1.F. Other Offices Complete the following information for each office, other than your <i>principal office and place of business</i> , at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or
SECTION 1.F. Other Offices Complete the following information for each office, other than your <i>principal office and place of business</i> , at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or
SECTION 1.F. Other Offices Complete the following information for each office, other than your <i>principal office and place of business</i> , at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or
SECTION 1.F. Other Offices Complete the following information for each office, other than your <i>principal office and place of business</i> , at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or
SECTION 1.F. Other Offices Complete the following information for each office, other than your <i>principal office and place of business</i> , at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or
SECTION 1.F. Other Offices Complete the following information for each office, other than your <i>principal office and place of business</i> , at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or
Complete the following information for each office, other than your <i>principal office and place of business</i> , at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or
Complete the following information for each office, other than your <i>principal office and place of business</i> , at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or
Complete the following information for each office, other than your <i>principal office and place of business</i> , at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or
Complete the following information for each office, other than your <i>principal office and place of business</i> , at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or
You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or
You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or
if you are an exempt reporting adviser, list only the largest five offices (in terms of numbers of employees).
Number and Street 1: Number and Street 2:
ELLIOTT ADVISORS (HK) LIMITED, CHATER HOUSE 8 CONNAUGHT ROAD CENTRAL, SUITES 1102-1105
City: State: Country: ZIP+4/Postal Code:
HONG KONG HONG KONG
Hono Rono
If this address is a private residence, check this box: \square
Telephone Number: Facsimile Number:
Table 1 and
85235581000 85235581001

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 6 of 80

if you are an exempt reporting adviser, list only the largest five offices (in terms of numbers of employees).							
Number and Street 1: Number and Street 2: ELLIOTT ADVISORS (UK) LIMITED PARK HOUSE, 6TH FLOOR							
City: LONDON	State:	Country: UNITED KINGDOM	ZIP+4/Postal Code: W1K6AF				
If this address is a private residence, check this box	κ : □						
Telephone Number: 442030091818	Facsimile Numb 442030091888						
	1.F. for each location	on. If you are applying for SEC	s, at which you conduct investment advisory business. registration, if you are registered only with the SEC, or ees).				
Number and Street 1: ELLIOTT ADVISORS ASIA LIMITED		ber and Street 2: LAKASAKA, MIDTOWN TOWER,	SRD FLOOR				
	ate: Coun	try: ZIP+4	Postal Code:				
		107-02	5				
If this address is a private residence, check this box	c : □						
•	csimile Number: 345887131						
SECTION 1.I. Website Addresses							
List your website addresses. You must complete a	separate Schedule	D Section 1.I. for each websit	e address.				
Website Address: HTTP://WWW.ELLIOTTMGMT.Co	DM						
Website Address: HTTP://WWW.ELLIOTTADVISORS.CO.UK							
Website Address: HTTP://WWW.ELLIOTTADVISORS.HK							
Website Address: HTTP://WWW.ELLIOTTASIA.COM							
SECTION 1.L. Location of Books and Records							
Complete the following information for each locatio must complete a separate Schedule D Section 1.L.	•	ep your books and records, othe	er than your <i>principal office and place of business</i> . You				
Name of entity where books and records are kept: IRON MOUNTAIN INCORPORATED							
Number and Street 1: UNIT 5 ZODIAC PARK, HIGH ROAD		Number and Street 2: UXBRIDGE					
City: MIDDLESEX	State:	Country: UNITED KINGDOM	ZIP+4/Postal Code: UB82GU				
If this address is a private residence, check this bo	x: 🗖						
Telephone Number: Facsimile number: 441895433533 441895433536							

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 7 of 80

This is (check one):			-
one of your branch offices or affiliates. a third-party unaffiliated recordkeeper.			
other.			
O strict.			
Briefly describe the books and records kept at t INVESTMENT- AND TRADING-RELATED RECORDS		ID ACCOUNTING RECORDS.	
Name of entity where books and records are ke ELLIOTT MANAGEMENT CORPORATION	pt:		
Number and Street 1: CONNELL CORPORATE CENTER IV		Number and Street 2: 400 CONNELL DRIVE, 3RD FLO	OR
City:	State:	Country:	ZIP+4/Postal Code:
BERKELEY HEIGHTS	New Jersey	UNITED STATES	07922
If this address is a private residence, check this	box:		
Telephone Number: 9082862000	Facsimile number: 9084641370		
This is (check one): O one of your branch offices or affiliates.			
$_{\hbox{\scriptsize C}}$ a third-party unaffiliated recordkeeper.			
⊙ other.			
Briefly describe the books and records kept at t INVESTMENT- AND TRADING-RELATED RECORDS		ID ACCOUNTING RECORDS.	
Name of entity where books and records are ke ELLIOTT ADVISORS (UK) LIMITED	pt:		
Number and Street 1: BENCHMARK HOUSE		Number and Street 2: 203 BROOKLANDS ROAD	
City: WEYBRIDGE	State:	Country: UNITED KINGDOM	ZIP+4/Postal Code:
WEYBRIDGE		UNITED KINGDOM	KT130RH
If this address is a private residence, check this	box:		
Telephone Number: 442030091818	Facsimile numbe 442030091756	r:	
This is (check one): one of your branch offices or affiliates.			
a third-party unaffiliated recordkeeper.			
other.			
Briefly describe the books and records kept at t INVESTMENT- AND TRADING-RELATED RECORDS		ID ACCOUNTING RECORDS.	
Name of entity where books and records are ke G4S CASH SERVICES LIMITED	pt:		
Number and Street 1: G/F THE SECURICOR CENTRE		Number and Street 2: 481-483 CASTLE PEAK ROAD	
City:	State:	•	ZIP+4/Postal Code:
KOWLOON		HONG KONG	
	box:		

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 8 of 80

Telephone Number: 85221733222	Facsimile number: 85227854549			
This is (check one): ${\Bbb C}$ one of your branch offices or affiliates.				
$_{f \odot}$ a third-party unaffiliated recordkeeper.				
C other.				
Briefly describe the books and records kept at this local INVESTMENT- AND TRADING-RELATED RECORDS AND F		TING RECORDS.		
Name of entity where books and records are kept: TERADA WAREHOUSE COMPANY				
Number and Street 1: 2-6-10 SHINAGAWA		Number and Street 2:		
City:	State:	Country:	ZIP+4/Postal Code:	
SHINAGAWA-KU, TOKYO		JAPAN	140-0002	
If this address is a private residence, check this box:				
Telephone Number: 81354791613	Facsimile number 81354791620	:		
This is (check one): O one of your branch offices or affiliates.				
$_{f \odot}$ a third-party unaffiliated recordkeeper.				
O other.				
Briefly describe the books and records kept at this local INVESTMENT-RELATED RECORDS AND FINANCIAL AND				
Name of entity where books and records are kept: ELLIOTT ADVISORS (UK) LIMITED				
Number and Street 1: PARK HOUSE, 6TH FLOOR	Number a 116 PARK	and Street 2: STREET		
City: Stat	•		ZIP+4/Postal Code:	
LONDON	UNITED K	INGDOM	W1K 6AF	
If this address is a private residence, check this box:				
·	simile number: 030091888			
This is (check one): one of your branch offices or affiliates.				
$_{ m C}$ a third-party unaffiliated recordkeeper.				
O other.				
Briefly describe the books and records kept at this local INVESTMENT- AND TRADING-RELATED RECORDS AND F		TING RECORDS.		
Name of entity where books and records are kept: ELLIOTT ADVISORS (HK) LIMITED				
Number and Street 1:		Number ar	d Street 2:	

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 9 of 80

City: HONG KONG	State:	Country: HONG KONG	ZIP+4/Postal Code:								
If this address is a private residence, check this box: $\ \Box$											
Telephone Number: 85235581000	Facsimile 8523558	number: 1001									
This is (check one): one of your branch offices or affiliates.											
$_{ m C}$ a third-party unaffiliated recordkeeper.											
O other.											
Briefly describe the books and records kept at this location: INVESTMENT- AND TRADING-RELATED RECORDS AND FINANCIAL AND ACCOUNTING RECORDS.											
Name of entity where books and records are kept: ELLIOTT ADVISORS ASIA LIMITED											
Number and Street 1:		Number and Street 2:									
9-7-1 AKASAKA, MIDTOWN TOWER	Chahai	43RD FLOOR	ZID LA/Dockol Codes								
City: MINATO-KU, TOKYO	State:	Country: JAPAN	ZIP+4/Postal Code: 107-6243								
If this address is a private residence, check this box: \Box											
Telephone Number: 81345887000	Facsimile numbe 81345887131	er:									
This is (check one): one of your branch offices or affiliates.											
C a third-party unaffiliated recordkeeper.											
C other.											
Briefly describe the books and records kept at this location: INVESTMENT-RELATED RECORDS AND FINANCIAL AND ACCOUNTING RECORDS.											
Name of entity where books and records are kept: IRON MOUNTAIN INCORPORATED											
Number and Street 1: NORMAN ROAD, PICKARDY MANOR WAY		Number and Street 2:									
City: BELVEDERE, LONDON	State:	Country: UNITED KINGDOM	ZIP+4/Postal Code: DA176JY								
BLEVEDERE, LONDON		UNITED KINGDOM	DAI7031								
If this address is a private residence, check this box: \Box											
Telephone Number: 4408445607080	Facsimile number: 4408445608090										
4400445007000	4400443000030										
This is (check one): One of your branch offices or affiliates.											
a third-party unaffiliated recordkeeper.											
other.											
Briefly describe the books and records kept at this location INVESTMENT- AND TRADING-RELATED RECORDS AND FIN		NTING RECORDS.									

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 10 of 80

IRON MOUNTAIN INCORPORATED	cept:		
Number and Street 1:		Number and Street 2:	
1000 CAMPUS DRIVE			
City:	State:	Country:	ZIP+4/Postal Code:
COLLEGEVILLE	Pennsylvania	UNITED STATES	19426
If this address is a private residence, check th	is box:		
Telephone Number: 8009343453	Facsimile number: 8009345348		
This is (check one): O one of your branch offices or affiliates.			
a third-party unaffiliated recordkeeper.			
C other.			
Briefly describe the books and records kept at INVESTMENT- AND TRADING-RELATED RECORD		COUNTING RECORDS.	
Name of entity where books and records are k IRON MOUNTAIN INCORPORATED	cept:		
Number and Street 1: 650 HOWARD AVENUE		Number and Street 2:	
City:	State:	Country:	ZIP+4/Postal Code:
SOMERSET	New Jersey	UNITED STATES	08873
If this address is a private residence, check th	is box:		
Telephone Number: 7326672500	Facsimile number: 7328050173		
This is (check one): O one of your branch offices or affiliates.			
a third-party unaffiliated recordkeeper.			
C other.			
Briefly describe the books and records kept at INVESTMENT- AND TRADING-RELATED RECORD		COUNTING RECORDS.	
SECTION 1.M. Registration with Foreign Finar	ncial Regulatory Authoriti	es	
	No I	nformation Filed	
Item 2 SEC Registration/Reporting			
Responses to this Item help us (and you) deter SEC registration or submitting an <i>annual updati</i> .		-	Complete this Item 2.A. only if you are applying for
	egistration and you are no	longer eligible to register with	through 2.A.(12), below. If you are submitting an n the SEC, check Item 2.A.(13). Part 1A Instruction 2 se items.
lacksquare (1) are a large advisory firm that e	ither:		
(a) has regulatory assets under r	management of \$100 millio	on (in U.S. dollars) or more, or	r
(b) has regulatory assets under r amendment and is registered	=	(in U.S. dollars) or more at the	he time of filing its most recent annual updating
(2) are a mid-sized advisory firm the	nat has regulatory assets (under management of \$25 mi	llion (in U.S. dollars) or more but less than \$100 million

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 11 of 80 (in U.S. dollars) and you are either: (a) not required to be registered as an adviser with the state securities authority of the state where you maintain your principal office and place of business, or (b) not subject to examination by the state securities authority of the state where you maintain your principal office and place of business; Click HERE for a list of states in which an investment adviser, if registered, would not be subject to examination by the state securities \square (3) have your *principal office and place of business* **in Wyoming** (which does not regulate advisers); \square (4) have your principal office and place of business outside the United States; are an investment adviser (or sub-adviser) to an investment company registered under the Investment Company Act of 1940; are an investment adviser to a company which has elected to be a business development company pursuant to section 54 of the Investment Company Act of 1940 and has not withdrawn the election, and you have at least \$25 million of regulatory assets under are a pension consultant with respect to assets of plans having an aggregate value of at least \$200,000,000 that qualifies for the exemption in rule 203A-2(a); (8) are a **related adviser** under rule 203A-2(b) that controls, is controlled by, or is under common control with, an investment adviser that is registered with the SEC, and your principal office and place of business is the same as the registered adviser; If you check this box, complete Section 2.A.(8) of Schedule D. 🔲 (9) are a **newly formed adviser** relying on rule 203A-2(c) because you expect to be eligible for SEC registration within 120 days; If you check this box, complete Section 2.A.(9) of Schedule D. \square (10) are a **multi-state adviser** that is required to register in 15 or more states and is relying on rule 203A-2(d); If you check this box, complete Section 2.A.(10) of Schedule D. (11) are an **Internet adviser** relying on rule 203A-2(e); [12) have **received an SEC order** exempting you from the prohibition against registration with the SEC; If you check this box, complete Section 2.A.(12) of Schedule D. (13) are **no longer eligible** to remain registered with the SEC. State Securities Authority Notice Filings and State Reporting by Exempt Reporting Advisers C. Under state laws, SEC-registered advisers may be required to provide to state securities authorities a copy of the Form ADV and any amendments they file with the SEC. These are called notice filings. In addition, exempt reporting advisers may be required to provide state securities authorities with a copy of reports and any amendments they file with the SEC. If this is an initial application or report, check the box(es) next to the state(s) that you would like to receive notice of this and all subsequent filings or reports you submit to the SEC. If this is an amendment to direct your notice filings or reports to additional state(s), check the box(es) next to the state(s) that you would like to receive notice of this and all subsequent filings or reports you submit to the SEC. If this is an amendment to your registration to stop your notice filings or reports from going to state(s) that currently receive them, uncheck the box(es) next to those state(s). Jurisdictions ☐ ID AL □ мо PA ☐ AK □ IL □ MT PR ☐ IN □ NE RI AZ □ NV □ sc I TA AR □ KS CA ☐ NH SD SD CO. □ KY □ N1 ☐ TN LA □ NM □ TX □ ст DE DE ME □ NY UT ☐ MD □ NC □ DC □ vT □ ND □ vi MA 🔲 EL ☐ GA ☐ MI □ он □ VA ☐ GU MN □ ок □ WA □ ні ☐ MS ☐ OR □ wv □ wi If you are amending your registration to stop your notice filings or reports from going to a state that currently receives them and you do not want to pay that state's notice filing or report filing fee for the coming year, your amendment must be filed before the end of the year (December 31).

SECTION 2.A.(8) Related Adviser

If you are relying on the exemption in rule 203A-2(b) from the prohibition on registration because you control, are controlled by, or are under common control with an investment adviser that is registered with the SEC and your principal office and place of business is the same as that of the registered adviser, provide

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 12 of 80

the	following information:
Nar	ne of Registered Investment Adviser
CRL	Number of Registered Investment Adviser
SEC 801	Number of Registered Investment Adviser -
SEC	TION 2.A.(9) Newly Formed Adviser
rep rep	ou are relying on rule 203A-2(c), the newly formed adviser exemption from the prohibition on registration, you are required to make certain resentations about your eligibility for SEC registration. By checking the appropriate boxes, you will be deemed to have made the required resentations. You must make both of these representations: If am not registered or required to be registered with the SEC or a state securities authority and I have a reasonable expectation that I will be eligible to
	register with the SEC within 120 days after the date my registration with the SEC becomes effective.
	I undertake to withdraw from SEC registration if, on the 120th day after my registration with the SEC becomes effective, I would be prohibited by Section 203A(a) of the Advisers Act from registering with the SEC.
SEC	TION 2.A.(10) Multi-State Adviser
If y	ou are relying on rule 203A-2(d), the multi-state adviser exemption from the prohibition on registration, you are required to make certain representations ut your eligibility for SEC registration. By checking the appropriate boxes, you will be deemed to have made the required representations.
	ou are applying for registration as an investment adviser with the SEC, you must make both of these representations: I have reviewed the applicable state and federal laws and have concluded that I am required by the laws of 15 or more states to register as an nvestment adviser with the state securities authorities in those states.
	I undertake to withdraw from SEC registration if I file an amendment to this registration indicating that I would be required by the laws of fewer than 15 states to register as an investment adviser with the state securities authorities of those states.
If y	ou are submitting your annual updating amendment, you must make this representation:
	Within 90 days prior to the date of filing this amendment, I have reviewed the applicable state and federal laws and have concluded that I am required by the laws of at least 15 states to register as an investment adviser with the state securities authorities in those states.
SEC	TION 2.A.(12) SEC Exemptive Order
	TION 2.A.(12) SEC Exemptive <i>Order</i> ou are relying upon an SEC <i>order</i> exempting you from the prohibition on registration, provide the following information:
If y	ou are relying upon an SEC <i>order</i> exempting you from the prohibition on registration, provide the following information:
If y	ou are relying upon an SEC <i>order</i> exempting you from the prohibition on registration, provide the following information:
If y	ou are relying upon an SEC <i>order</i> exempting you from the prohibition on registration, provide the following information: lication Number: -
If y App 803	ou are relying upon an SEC <i>order</i> exempting you from the prohibition on registration, provide the following information: lication Number: -
If y App 803 Dat	ou are relying upon an SEC <i>order</i> exempting you from the prohibition on registration, provide the following information: - e of <i>order</i> :
If y App 803 Dat	ou are relying upon an SEC order exempting you from the prohibition on registration, provide the following information: dication Number: e of order: a 3 Form of Organization How are you organized? © Corporation
If y App 803 Dat	ou are relying upon an SEC order exempting you from the prohibition on registration, provide the following information: dication Number: e of order: a 3 Form of Organization How are you organized? Corporation Sole Proprietorship
If y App 803 Dat	ou are relying upon an SEC order exempting you from the prohibition on registration, provide the following information: lication Number: e of order: a 3 Form of Organization How are you organized? Corporation Sole Proprietorship Limited Liability Partnership (LLP)
If y App 803 Dat	ou are relying upon an SEC order exempting you from the prohibition on registration, provide the following information: lication Number: e of order: a 3 Form of Organization How are you organized? C Corporation Sole Proprietorship Limited Liability Partnership (LLP) Partnership
If y App 803 Dat	ou are relying upon an SEC order exempting you from the prohibition on registration, provide the following information: dication Number: e of order: a 3 Form of Organization How are you organized? C Corporation Sole Proprietorship Limited Liability Partnership (LLP) Partnership Limited Liability Company (LLC)
If y App 803 Dat	ou are relying upon an SEC order exempting you from the prohibition on registration, provide the following information: dication Number: e of order: a 3 Form of Organization How are you organized? © Corporation Sole Proprietorship C Limited Liability Partnership (LLP) Partnership Limited Liability Company (LLC) Limited Partnership (LP)
If y App 803 Dat	ou are relying upon an SEC order exempting you from the prohibition on registration, provide the following information: dication Number: e of order: a 3 Form of Organization How are you organized? C Corporation Sole Proprietorship Limited Liability Partnership (LLP) Partnership Limited Liability Company (LLC)
If y App 803 Dat	are relying upon an SEC order exempting you from the prohibition on registration, provide the following information: lication Number:
App 803 Date Item A.	ou are relying upon an SEC order exempting you from the prohibition on registration, provide the following information: Illication Number:

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 13 of 80

If you are a partnership, provide the name of the state or country under whose laws your partnership was formed. If you are a sole proprietor, provide the name of the state or country where you reside.

If you are changing your response to this Item, see Part 1A Instruction 4.

Ite	m 4	Successions		
			Yes	No
A.	Ar	e you, at the time of this filing, succeeding to the business of a registered investment adviser?	0	•
	If	"yes", complete Item 4.B. and Section 4 of Schedule D.		
В.	Da	ate of Succession: (MM/DD/YYYY)		
	If	you have already reported this succession on a previous Form ADV filing, do not report the succession again. Instead, check "No." See Part 1A Instr	ıction	4.
SEC	CTIC	ON 4 Successions		
		No Information Filed		
Thou	m E	Information About Your Advisory Business - Employees Clients and Compensation		
		Information About Your Advisory Business - Employees, Clients, and Compensation		
		ises to this Item help us understand your business, assist us in preparing for on-site examinations, and provide us with data we use when m ory policy. Part 1A Instruction 5.a. provides additional guidance to newly formed advisers for completing this Item 5.	akıng	'
En	nplo	yees		
		are organized as a sole proprietorship, include yourself as an employee in your responses to Item 5.A. and Items 5.B.(1), (2), (3), (4), and (5). If an more than one function, you should count that employee in each of your responses to Items 5.B.(1), (2), (3), (4), and (5).	emplo	yee
Α.	Ар 34	proximately how many <i>employees</i> do you have? Include full- and part-time <i>employees</i> but do not include any clerical workers.		
В.	(1)	Approximately how many of the <i>employees</i> reported in 5.A. perform investment advisory functions (including research)?		
	(2)	Approximately how many of the <i>employees</i> reported in 5.A. are registered representatives of a broker-dealer?		
	(3)	Approximately how many of the <i>employees</i> reported in 5.A. are registered with one or more <i>state securities authorities</i> as <i>investment advise representatives</i> ?	er	
	(4)	•	er	
	(5)			
	(6)			
		your response to Item 5.B.(6), do not count any of your employees and count a firm only once – do not count each of the firm's employees that sol ur behalf.	cit or	1
Cli	ents	5		
		responses to Items 5.C. and 5.D. do not include as "clients" the investors in a private fund you advise, unless you have a separate advisory relationse investors.	nship	
C.	(1)) To approximately how many clients did you provide investment advisory services during your most recently completed fiscal year?		
		O 0 O 11-25		
		C 26-100 C More than 100 If more than 100, how many?		

(round to the nearest 100)

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 14 of 80

- (2) Approximately what percentage of your clients are non-United States persons? 50%
- D. For purposes of this Item 5.D., the category "individuals" includes trusts, estates, and 401(k) plans and IRAs of individuals and their family members, but does not include businesses organized as sole proprietorships. The category "business development companies" consists of companies that have made an election pursuant to section 54 of the Investment Company Act of 1940. Unless you provide advisory services pursuant to an investment advisory contract to an investment company registered under the Investment Company Act of 1940, check "None" in response to Item 5.D.(1)(d) and do not check any of the boxes in response to Item 5.D.(2)(d).
 - (1) What types of clients do you have? Indicate the approximate percentage that each type of client comprises of your total number of clients. If a client fits into more than one category, check all that apply.

	<u>None</u>	<u>Up to 10%</u>	<u>11-25%</u>	<u>26-50%</u>	<u>51-75%</u>	<u>76-99%</u>	100%
(a) Individuals (other than high net worth individuals)	⊚	0	0	0	0	0	0
(b) High net worth individuals	⊙	0	0	0	0	0	0
(c) Banking or thrift institutions	•	0	0	0	0	0	0
(d) Investment companies	•	0	0	0	0	0	0
(e) Business development companies	•	0	0	0	0	0	0
(f) Pooled investment vehicles (other than investment companies)	0	0	0	0	0	0	•
(g) Pension and profit sharing plans (but not the plan participants)	•	0	0	0	0	0	0
(h) Charitable organizations	•	0	0	0	0	0	0
(i) Corporations or other businesses not listed above	•	0	0	0	0	0	0
(j) State or municipal government entities	⊙	0	0	0	0	0	0
(k) Other investment advisers	⊙	0	0	0	0	0	0
(I) Insurance companies	•	0	0	0	0	0	0
(m) Other:	\odot	0	0	0	0	0	0

(2) Indicate the approximate amount of your regulatory assets under management (reported in Item 5.F. below) attributable to each of the following type of *client*. If a *client* fits into more than one category, check all that apply.

	<u>None</u>	Up to 25%	<u>Up to 50%</u>	<u>Up to 75%</u>	>75%
(a) Individuals (other than high net worth individuals)	⊚	0	0	0	0
(b) High net worth individuals	⊙	0	0	0	0
(c) Banking or thrift institutions	⊙	0	0	0	0
(d) Investment companies	•	0	0	0	0
(e) Business development companies	•	0	0	0	0
(f) Pooled investment vehicles (other than investment companies)	0	0	0	0	•
(g) Pension and profit sharing plans (but not the plan participants)	•	0	0	0	0
(h) Charitable organizations	⊙	0	0	0	0
(i) Corporations or other businesses not listed above	•	0	0	0	0
(j) State or municipal government entities	•	0	0	0	0
(k) Other investment advisers	⊙	0	0	0	0
(l) Insurance companies	•	0	0	0	0
(m) Other:	•	0	0	0	0

Compensation Arrangements

 You are compensated for your investment advisory services by (check all that ap 	ply)
---	-----	---

(1) A percentage of assets under your management

(2) Hourly charges

(3) Subscription fees (for a newsletter or periodical)

(4) Fixed fees (other than subscription fees)

(5) Commissions

(6) Performance-based fees

(7) Other (specify): PERFORMANCE-BASED ALLOCATIONS

Item 5 Information About Your Advisory Business - Regulatory Assets Under Management

Regulatory Assets Under Management

Yes No \odot

- F. (1) Do you provide continuous and regular supervisory or management services to securities portfolios?
 - (2) If yes, what is the amount of your regulatory assets under management and total number of accounts?

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 15 of 80

U.S. Dollar Amount Total Number of Accounts
Discretionary: (a) \$45,178,981,922 (d) 2

Non-Discretionary: (b) \$ 0 (e) 0
Total: (c) \$ 45,178,981,922 (f) 2

Part 1A Instruction 5.b. explains how to calculate your regulatory assets under management. You must follow these instructions carefully when completing this Item.

Tten	n 5 Information About Your Advisory Business - Advisory Activities
	visory Activities
	What type(s) of advisory services do you provide? Check all that apply.
	 ☐ (1) Financial planning services ☐ (2) Portfolio management for individuals and/or small businesses ☐ (3) Portfolio management for investment companies (as well as "business development companies" that have made an election pursuant to section 54 of the Investment Company Act of 1940) ☑ (4) Portfolio management for pooled investment vehicles (other than investment companies) ☐ (5) Portfolio management for businesses (other than small businesses) or institutional clients (other than registered investment companies and other pooled investment vehicles) ☐ (6) Pension consulting services ☐ (7) Selection of other advisers (including private fund managers) ☐ (8) Publication of periodicals or newsletters ☐ (9) Security ratings or pricing services ☐ (10) Market timing services ☐ (11) Educational seminars/workshops ☐ (12) Other(specify): Do not check Item 5.G.(3) unless you provide advisory services pursuant to an investment advisory contract to an investment company registered under the Investment Company Act of 1940, including as a subadviser. If you check Item 5.G.(3), report the 811 or 814 number of the investment company or investment companies to which you provide advice in Section 5.G.(3) of Schedule D.
н.	If you provide financial planning services, to how many <i>clients</i> did you provide these services during your last fiscal year? O 1 - 10 11 - 25 26 - 50 51 - 100 101 - 250 251 - 500 More than 500 If more than 500, how many? (round to the nearest 500)
I.	In your responses to this Item 5.H., do not include as "clients" the investors in a private fund you advise, unless you have a separate advisory relationship with those investors. If you participate in a wrap fee program, do you (check all that apply): (1) sponsor the wrap fee program?
	Sponsor the wap ree program? act as a portfolio manager for the wrap fee program?
	If you are a portfolio manager for a wrap fee program, list the names of the programs and their sponsors in Section 5.1.(2) of Schedule D.
	If your involvement in a wrap fee program is limited to recommending wrap fee programs to your clients, or you advise a mutual fund that is offered through a wrap fee program, do not check either Item 5.I.(1) or 5.I.(2). Yes No
J.	In response to Item 4.B. of Part 2A of Form ADV, do you indicate that you provide investment advice only with respect to limited types of investments?
SE SE	

Section 3.3.(3) Advisers to Registered Investment Companies and Business Development Companies

No Information Filed

No Information Filed

Item 6 Other Business Activities	
In this Item, we request information about your firm's other business activities.	
A. You are actively engaged in business as a (check all that apply): (1) broker-dealer (registered or unregistered) (2) registered representative of a broker-dealer (3) commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (4) futures commission merchant (5) real estate broker, dealer, or agent (6) insurance broker or agent (7) bank (including a separately identifiable department or division of a bank) (8) trust company (9) registered municipal advisor (10) registered security-based swap dealer (11) major security-based swap participant (12) accountant or accounting firm (13) lawyer or law firm (14) other financial product salesperson (specify):	
If you engage in other business using a name that is different from the names reported in Items 1.A. or 1.B, complete Section 6.A. of Schedule D.	s No
B. (1) Are you actively engaged in any other business not listed in Item 6.A. (other than giving investment advice)?	_
(2) If yes, is this other business your primary business?	
If "yes," describe this other business on Section 6.B.(2) of Schedule D, and if you engage in this business under a different name, provide that name.	
(3) Do you sell products or provide services other than investment advice to your advisory <i>clients</i> ?	•
If "yes," describe this other business on Section 6.B.(3) of Schedule D, and if you engage in this business under a different name, provide that name.	
SECTION 6.A. Names of Your Other Businesses No Information Filed	
SECTION 6 P (2) Description of Drimow, Presings	
SECTION 6.B.(2) Description of Primary Business Describe your primary business (not your investment advisory business):	
If you engage in that business under a different name, provide that name:	
SECTION 6.B.(3) Description of Other Products and Services	
Describe other products or services you sell to your <i>client</i> , You may omit products and services that you listed in Section 6.B.(2) above.	
If you engage in that business under a different name, provide that name.	
Item 7 Financial Industry Affiliations	
In this Item, we request information about your financial industry affiliations and activities. This information identifies areas in which conflicts of interest moccur between you and your <i>clients</i> .	,
 A. This part of Item 7 requires you to provide information about you and your related persons, including foreign affiliates. Your related persons are all of y advisory affiliates and any person that is under common control with you. You have a related person that is a (check all that apply): (1) broker-dealer, municipal securities dealer, or government securities broker or dealer (registered or unregistered) (2) other investment adviser (including financial planners) (3) registered municipal advisor 	your
☐ (4) registered security-based swap dealer ☐ (5) major security-based swap participant ☑ (6) commodity pool operator or commodity trading advisor (whether registered or exempt from registration) ☐ (7) futures commission merchant ☐ (8) banking or thrift institution ☐ (9) truct company	

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 17 of 80

	(10) accountant or accounting firm	
	(11) lawyer or law firm	
	☐ (12) insurance company or agency ☐ (13) pension consultant	
	(14) real estate broker or dealer	
	(15) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
	(16) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
	For each related person, including foreign affiliates that may not be registered or required to be registered in the United States, complete Section 7.A. of	
	Schedule D.	
	You do not need to complete Section 7.A. of Schedule D for any related person if: (1) you have no business dealings with the related person in connection with	
	advisory services you provide to your clients; (2) you do not conduct shared operations with the related person; (3) you do not refer clients or business to the	è
	related person, and the related person does not refer prospective clients or business to you; (4) you do not share supervised persons or premises with the related person; and (5) you have no reason to believe that your relationship with the related person otherwise creates a conflict of interest with your clients.	
	,	
	You must complete Section 7.A. of Schedule D for each related person acting as qualified custodian in connection with advisory services you provide to your	
	clients (other than any mutual fund transfer agent pursuant to rule 206(4)-2(b)(1)), regardless of whether you have determined the related person to be	
	operationally independent under rule 206(4)-2 of the Advisers Act.	_
SEC	TION 7.A. Financial Industry Affiliations	
Cor	nplete a separate Schedule D Section 7.A. for each <i>related person</i> listed in Item 7.A.	
1.	Legal Name of Related Person:	
	ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC.	
2.	Primary Business Name of <i>Related Person</i> :	
	ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC.	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	or	
	Other	
4.	Related Person's CRD Number (if any):	
5.	Related Person is: (check all that apply)	
	(a) Droker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b) other investment adviser (including financial planners)	
	(c) registered municipal advisor	
	(d) registered security-based swap dealer	
	 (e) ☐ major security-based swap participant (f) ✓ commodity pool operator or commodity trading advisor (whether registered or exempt from registration) 	
	 (f) ✓ commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) ☐ futures commission merchant 	
	(h) banking or thrift institution	
	(i) trust company	
	(j) accountant or accounting firm	
	(k) awyer or law firm	
	(I) insurance company or agency	
	(m) pension consultant	
	 (n) real estate broker or dealer (o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles 	
	(p) ✓ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
	Yes N	No
6.	Do you control or are you controlled by the related person?	⊚
7.	Are you and the <i>related person</i> under common <i>control</i> ?	ା
8.	(1) -a	⊚
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not	0
	required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i> 's office responsible for <i>custody</i> of your <i>clients</i> ' assets	s:
	Number and Street 1: Number and Street 2:	
	City: State: Country: ZIP+4/Postal Code:	
	If this address is a private residence, check this box: \square Yes N	,
	i ca ii	

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 18 of 80

9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	0	•
	(b) If the answer is yes, under what exemption?		
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(b) If the answer is yes, list the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registed. No Information Filed		
11.	Do you and the related person share any supervised persons?	•	0
12.	Do you and the <i>related person</i> share the same physical location?	•	0
		_	
1.	Legal Name of <i>Related Person</i> : ELLIOTT CAPITAL ADVISORS, L.P.		
2.	Primary Business Name of <i>Related Person</i> : ELLIOTT CAPITAL ADVISORS, L.P.		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's CRD Number (if any):		
5.	Related Person is: (check all that apply) (a) □ broker-dealer, municipal securities dealer, or government securities broker or dealer (b) ☑ other investment adviser (including financial planners)		
	(c) ☐ registered municipal advisor (d) ☐ registered security-based swap dealer		
	 (e) □ major security-based swap participant (f) ☑ commodity pool operator or commodity trading advisor (whether registered or exempt from registration) 		
	 (f) ✓ commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) ☐ futures commission merchant 		
	(h) □ banking or thrift institution (i) □ trust company		
	(j) accountant or accounting firm		
	(k) ☐ lawyer or law firm (I) ☐ insurance company or agency		
	(m) pension consultant		
	 (n) □ real estate broker or dealer (o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles 		
	(p) ✓ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
6.	Do you control or are you controlled by the related person?	Yes ⊙	
		٠	
7.	Are you and the <i>related person</i> under common <i>control</i> ?	•	0
8.	(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	\circ	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i>	asse	ts:
	Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box: \square	Yes	No
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	0	•
	(b) If the answer is yes, under what exemption?		
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(b) If the answer is yes, list the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registed. No Information Filed	red.	
11.	Do you and the related person share any supervised persons?	•	0
12.	Do you and the <i>related person</i> share the same physical location?	•	0

_			
1.	Legal Name of <i>Related Person</i> : ELLIOTT SPECIAL GP, LLC		
2.	Primary Business Name of <i>Related Person</i> : ELLIOTT SPECIAL GP, LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or		
	Other		
4.	Related Person's CRD Number (if any):		
5.	Related Person is: (check all that apply)		
	 (a)		
	(c) \Box registered municipal advisor		
	 (d) ☐ registered security-based swap dealer (e) ☐ major security-based swap participant 		
	(f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g) futures commission merchant		
	 (h)		
	(j) accountant or accounting firm		
	(k) □ lawyer or law firm (l) □ insurance company or agency		
	(m) pension consultant		
	 (n) □ real estate broker or dealer (o) □ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles 		
	(p) ✓ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
6	Do you control or are you controlled by the related person?	Yes	
0.	bo you control of are you controlled by the related person:	О	⊚
7.	Are you and the related person under common control?	•	0
8.	(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	0	⊚
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients's	asse	ts:
	Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box: \Box		
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes O	No
	(b) If the answer is yes, under what exemption?	~	~
10.	(a) Is the related person registered with a foreign financial regulatory authority ?	0	•
	(b) If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is register. No Information Filed		~
11.	Do you and the related person share any supervised persons?	⊙	0
12.	Do you and the <i>related person</i> share the same physical location?	•	0
	Local Name of Related Parens		
1.	Legal Name of <i>Related Person</i> : ELLIOTT ADVISORS ASIA LIMITED		
,	Primary Ruciness Name of Polated Person		
۷.	Primary Business Name of <i>Related Person</i> : ELLIOTT ADVISORS ASIA LIMITED		
2	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
٦.	Activities 1 6.30/13 SEC File Hulliber (ii unit) (c.g., 001 , 0 , 000-, 002-)		

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 20 of 80

	or Othe	ur .		
4.	Rela	ted Person's CRD Number (if any):		
5.	Relation (a) (b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (n) (o) (p)	▼ other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant banking or thrift institution trust company accountant or accounting firm lawyer or law firm insurance company or agency pension consultant real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	No
6.	Do y	ou control or are you controlled by the related person?	0	•
7.	Are	you and the <i>related person</i> under common <i>control</i> ?	•	0
8.	(b)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ? If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ? If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i>	0	⊙ C
		Number and Street 1: City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box:		
9.	` ,	If the <i>related person</i> is an investment adviser, is it exempt from registration? If the answer is yes, under what exemption?	Yes O	
10.		Is the related person registered with a foreign financial regulatory authority? If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed. Name of Country/Foreign Financial Regulatory Authority Japan - Financial Services Agency	⊙ red.	0
11.	Do y	ou and the <i>related person</i> share any <i>supervised persons</i> ?	⊚	0
12.	Do y	ou and the <i>related person</i> share the same physical location?	0	•
1.	_	l Name of <i>Related Person</i> : DTT ADVISORS (HK) LIMITED		
2.		ary Business Name of <i>Related Person</i> : DTT ADVISORS (HK) LIMITED		
3.	Rela	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Othe	er		
4.	Rela	ted Person's CRD Number (if any):		
5.	Relati			

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 21 of 80

	(c) (d)			
	(e)			
	. ,	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g) (h)			
	. ,	trust company		
		accountant or accounting firm		
	(k)			
	` '	insurance company or agency		
	(m) (n)			
	(ii) (o)	_		
	(p)			
			Yes	No
6.	Do yo	ou control or are you controlled by the related person?	\circ	⊙
7.	Are y	ou and the <i>related person</i> under common <i>control</i> ?	•	0
8.		Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	\circ	\odot
	. ,	If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?	0	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients'	asse	ts:
		Number and Street 1: Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box: \square		
		and data day is a private residence, shock this saw is	Yes	No
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	\circ	\odot
	(b)	If the answer is yes, under what exemption?		
10	(2)	Is the related person registered with a foreign financial regulatory authority ?	•	_
10.	(a)	is the related person registered with a foreign manetal regulatory duthority :	137	\circ
10.	. ,	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is register.		о —
10.	. ,	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed Name of Country/Foreign Financial Regulatory Authority		0
	(b)	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed Name of Country/Foreign Financial Regulatory Authority Hong Kong - Securities and Futures Commission	red.	
	(b)	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed Name of Country/Foreign Financial Regulatory Authority	red.	0
11.	(b)	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed Name of Country/Foreign Financial Regulatory Authority Hong Kong - Securities and Futures Commission	red.	
11.	(b)	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed. Name of Country/Foreign Financial Regulatory Authority Hong Kong - Securities and Futures Commission ou and the related person share any supervised persons?	red.	0
11. 12.	(b) Do yo	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed. Name of Country/Foreign Financial Regulatory Authority Hong Kong - Securities and Futures Commission ou and the related person share any supervised persons? ou and the related person share the same physical location?	red.	0
11. 12.	(b) Do you Legal	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed. Name of Country/Foreign Financial Regulatory Authority Hong Kong - Securities and Futures Commission ou and the related person share any supervised persons? ou and the related person share the same physical location? Name of Related Person:	red.	0
11. 12.	(b) Do you Legal	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed. Name of Country/Foreign Financial Regulatory Authority Hong Kong - Securities and Futures Commission ou and the related person share any supervised persons? ou and the related person share the same physical location?	red.	0
11.	(b) Do you Legal ELLIC	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed. Name of Country/Foreign Financial Regulatory Authority Hong Kong - Securities and Futures Commission ou and the related person share any supervised persons? ou and the related person share the same physical location? Name of Related Person: OTT ADVISORS (UK) LIMITED ary Business Name of Related Person:	red.	0
11.	(b) Do you Legal ELLIC	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed. Name of Country/Foreign Financial Regulatory Authority Hong Kong - Securities and Futures Commission ou and the related person share any supervised persons? ou and the related person share the same physical location? Name of Related Person: OTT ADVISORS (UK) LIMITED	red.	0
11. 12.	Do you Legal ELLIC	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed. Name of Country/Foreign Financial Regulatory Authority Hong Kong - Securities and Futures Commission ou and the related person share any supervised persons? ou and the related person share the same physical location? Name of Related Person: OTT ADVISORS (UK) LIMITED ary Business Name of Related Person:	red.	0
11. 12.	Do you Legal ELLIC	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed. Name of Country/Foreign Financial Regulatory Authority Hong Kong - Securities and Futures Commission ou and the related person share any supervised persons? ou and the related person share the same physical location? Name of Related Person: OTT ADVISORS (UK) LIMITED ary Business Name of Related Person: OTT ADVISORS (UK) LIMITED	red.	0
11. 12.	Do you Legal ELLIC Prima ELLIC Relat	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed. Name of Country/Foreign Financial Regulatory Authority Hong Kong - Securities and Futures Commission ou and the related person share any supervised persons? ou and the related person share the same physical location? Name of Related Person: OTT ADVISORS (UK) LIMITED ary Business Name of Related Person: OTT ADVISORS (UK) LIMITED and Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	red.	0
11. 12. 1. 2.	Do you Legal ELLIC Prima ELLIC Relation or Othe	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed. Name of Country/Foreign Financial Regulatory Authority Hong Kong - Securities and Futures Commission ou and the related person share any supervised persons? ou and the related person share the same physical location? Name of Related Person: OTT ADVISORS (UK) LIMITED ary Business Name of Related Person: OTT ADVISORS (UK) LIMITED and Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	red.	0
11. 12. 1. 2.	Do you Legal ELLIC Prima ELLIC Relation or Othe	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed. Name of Country/Foreign Financial Regulatory Authority Hong Kong - Securities and Futures Commission ou and the related person share any supervised persons? ou and the related person share the same physical location? Name of Related Person: OTT ADVISORS (UK) LIMITED ary Business Name of Related Person: OTT ADVISORS (UK) LIMITED and Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	red.	0
11. 12. 1. 2. 3.	Legal ELLIC Prima ELLIC Relation	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed. Name of Country/Foreign Financial Regulatory Authority Hong Kong - Securities and Futures Commission Duand the related person share any supervised persons? Duand the related person share the same physical location? Name of Related Person: DITT ADVISORS (UK) LIMITED DITT ADVISORS (UK) LIMITED DITT ADVISORS (UK) LIMITED DEATH OF THE PERSON SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) The death of Person's CRD Number (if any):	red.	0
11. 12. 1. 2. 3.	Legal ELLIC Prima ELLIC Relation	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed. Name of Country/Foreign Financial Regulatory Authority Hong Kong - Securities and Futures Commission Durand the related person share any supervised persons? Durand the related person share the same physical location? Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person: Out ADVISORS (UK) LIMITED Dury Business Name of Related Person:	red.	0
11. 12. 1. 2. 3.	Do you Legal ELLIC Prima ELLIC Relation Relati	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed. Name of Country/Foreign Financial Regulatory Authority Hong Kong - Securities and Futures Commission Durand the related person share any supervised persons? Durand the related person share the same physical location? Name of Related Person: DIT ADVISORS (UK) LIMITED and Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) The defendance of the person of the perso	red.	0
11. 12. 1. 2. 3.	Do you Legal ELLIO Prima ELLIO Othe Relate (a) (b) (c)	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed Name of Country/Foreign Financial Regulatory Authority Hong Kong - Securities and Futures Commission Durand the related person share any supervised persons? Durand the related person share the same physical location? Name of Related Person: DIT ADVISORS (UK) LIMITED DITY ADVISORS (UK) LIMITED	red.	0
11. 12. 1. 2. 3.	Do you Do you Do you Do you Legal ELLIO Relation or Other Relation (a) (b) (c) (d)	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed Name of Country/Foreign Financial Regulatory Authority Hong Kong - Securities and Futures Commission ou and the related person share any supervised persons? ou and the related person share the same physical location? Name of Related Person: Out ADVISORS (UK) LIMITED ary Business Name of Related Person: Out ADVISORS (UK) LIMITED and Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) out ADVISORS (UK) LIMITED and Person's CRD Number (if any): and Person is: (check all that apply) broker-dealer, municipal securities dealer, or government securities broker or dealer outer investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer	red.	0
11. 12. 1. 2. 3.	Legal ELLICO Prima ELLICO Relation or Othe Relation (a) (b) (c) (d) (e)	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registe Name of Country/Foreign Financial Regulatory Authority Hong Kong - Securities and Futures Commission Du and the related person share any supervised persons? Du and the related person share the same physical location? Name of Related Person: OTT ADVISORS (UK) LIMITED Bury Business Name of Related Person: OTT ADVISORS (UK) LIMITED Bury Business Name of Related Person: OTT ADVISORS (UK) LIMITED Bury Business Name of Related Person: DTT ADVISORS (UK) LIMITED Bury Business Name of Related Person: DTT ADVISORS (UK) LIMITED Bury Business Name of Related Person: DTT ADVISORS (UK) LIMITED Bury Business Name of Related Person: DTT ADVISORS (UK) LIMITED Bury Business Name of Related Person: DTT ADVISORS (UK) LIMITED Bury Business Name of Related Person: DTT ADVISORS (UK) LIMITED Bury Business Name of Related Person: DTT ADVISORS (UK) LIMITED Bury Business Name of Related Person: DTT ADVISORS (UK) LIMITED Bury Business Name of Related Person: DTT ADVISORS (UK) LIMITED Bury Business Name of Related Person: DTT ADVISORS (UK) LIMITED Bury Business Name of Related Person: DTT ADVISORS (UK) LIMITED Bury Business Name of Related Person: DTT ADVISORS (UK) LIMITED Bury Business Name of Related Person: DTT ADVISORS (UK) LIMITED Bury Business Name of Related Person: DTT ADVISORS (UK) LIMITED Bury Business Name of Related Person: DTT ADVISORS (UK) LIMITED Bury Bury Bury Bury Bury Bury Bury Bury	red.	0
11. 12. 1. 2. 3.	Legal ELLICO Prima ELLICO Relation or Othe Relation (a) (b) (c) (d) (e)	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed Name of Country/Foreign Financial Regulatory Authority Hong Kong - Securities and Futures Commission and the related person share any supervised persons? but and the related person share the same physical location? Name of Related Person: ITT ADVISORS (UK) LIMITED But Business Name of Related Person: ITT ADVISORS (UK) LIMITED But Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) Finance de Person's CRD Number (if any): But Person is: (check all that apply) Business home of Related Person is: (check all that apply) Business Name of Related Person is: (check all that apply) Business Name of Related Person is: (check all that apply) Business Name of Related Person is: (check all that apply) Commodity possible securities dealer, or government securities broker or dealer Finance of Related Person is: (check all that apply) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	red.	0
11. 12. 1. 2. 3.	Legal ELLICO Prima ELLICO Relation or Othe Relation (a) (b) (c) (d) (e) (f)	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed Name of Country/Foreign Financial Regulatory Authority Hong Kong - Securities and Futures Commission Du and the related person share any supervised persons? Du and the related person share the same physical location? Name of Related Person: TIT ADVISORS (UK) LIMITED DITY ADVISORS (UK) LIMITED	red.	0
11. 12. 1. 2. 3.	Legal ELLIC Relate (a) (b) (c) (d) (e) (f) (g) (h) (i)	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registed Name of Country/Foreign Financial Regulatory Authority Hong Kong - Securities and Futures Commission Du and the related person share any supervised persons? Du and the related person share the same physical location? Name of Related Person: TIT ADVISORS (UK) LIMITED TIT ADVISORS (UK) LIMITED TIT ADVISORS (UK) LIMITED Determined Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) TIT ADVISORS (UK) LIMITED TIT ADVIS	red.	0

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 22 of 80

	(k) 🔲 lawyer or law firm	
	(l) insurance company or agency	
	(m) pension consultant	
	(n) real estate broker or dealer	
	 (o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles 	
	(p) is sponsor, general paramer, managing member (or equivalent) or pooled investment vehicles	Yes No
6.	5. Do you control or are you controlled by the related person?	• c
7.	7. Are you and the related person under common control?	• c
8.	3. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients	nts? C •
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcom	ne the C O
	presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the related person and thus	
	required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custo</i>	ody of your <i>clients'</i> assets:
	Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:	
	If this address is a private residence, check this box:	
		Yes No
9.	O. (a) If the related person is an investment adviser, is it exempt from registration?	0 0
	(b) If the answer is yes, under what exemption?	
10.	10. (a) Is the related person registered with a foreign financial regulatory authority?	⊙ ೧
	(b) If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related	d person is registered.
	Name of Country/Foreign Financial Regulatory Authority	
	Other - UNITED KINGDOM - FINANCIAL CONDUCT AUTHORITY	
11.	1. Do you and the related person share any supervised persons?	⊙ ○
12.	12. Do you and the <i>related person</i> share the same physical location?	0 0
1.	L. Legal Name of <i>Related Person</i> :	
	ELLIOTT SPECIAL MANAGER, LLC	
2.	2. Primary Business Name of Related Person:	
	ELLIOTT SPECIAL MANAGER, LLC	
3.	3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
-	-	
	or	
	Other	
	L. Deleted Develop (CDD Neverborn (Forms))	
4.	1. Related Person's CRD Number (if any):	
5.	5. Related Person is: (check all that apply)	
	(a) \square broker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b) vother investment adviser (including financial planners)	
	(c) registered municipal advisor	
	(d) registered security-based swap dealer	
	(e) major security-based swap participant	
	 (f) ✓ commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) ☐ futures commission merchant 	
	(h) banking or thrift institution	
	(i) trust company	
	(j) accountant or accounting firm	
	(k) lawyer or law firm	
	(l) \square insurance company or agency	
	(m) pension consultant	
	(n) real estate broker or dealer	
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	
	(p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes No
_	5. Do you control or are you controlled by the related person?	res N0 ○ ⊙
ים ו		[:] [•]

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 23 of 80

7.	Are y	you and the related person under common control?	•	0
8.	(a)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	0	0
		If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?	0	o
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> a Number and Street 1: Number 2:	asse	ts:
		City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box:		
			Yes	No
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	O	⊚
	(b)	If the answer is yes, under what exemption?		
10.	(a)	Is the related person registered with a foreign financial regulatory authority ?	0	•
	(b)	If the answer is yes, list the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is register No Information Filed	ed.	
11.	Do y	ou and the <i>related person</i> share any <i>supervised persons</i> ?	⊚	0
12.	Do y	ou and the <i>related person</i> share the same physical location?	•	0
				_
1.	-	l Name of <i>Related Person</i> : BLEDON, INC.		
	. .			
2.		ary Business Name of <i>Related Person</i> : BLEDON, INC.		
3.	Relat	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Othe	ır		
4.	Relat	ted Person's CRD Number (if any):		
5.	Relat	ted Person is: (check all that apply)		
0	(a)	broker-dealer, municipal securities dealer, or government securities broker or dealer		
	` '	□ other investment adviser (including financial planners) □ registered municipal advisor		
	(d)			
	(e)			
	` '	 commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant 		
	,	banking or thrift institution		
		trust company		
		 accountant or accounting firm lawyer or law firm 		
	. ,	insurance company or agency		
	. ,	pension consultant		
	. ,	real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	. ,	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
	D		Yes	- 1
6.	D0 A	ou <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ?	0	•
7.	Are y	you and the related person under common control?	⊙	0
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	o	•
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the related person and thus are not	0	0
	(c)	required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ? If you have answered "you" to question 8 (a) above provide the location of the related person's office recognished for custody of your clients'.	2000	
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> 8. Number and Street 1: Number and Street 2:	usst	
		City: State: Country: ZIP+4/Postal Code:		

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 24 of 80

		If this address is a private residence, check this box: \Box		
9	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes	- 1
		If the answer is yes, under what exemption?	0	⊚
10		Is the related person registered with a foreign financial regulatory authority?	୍	⊚
	(D)	If the answer is yes, list the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registed. No Information Filed	erea.	
11	. Do y	ou and the related person share any supervised persons?	0	⊚
1,	Day	and the valeted payon should the same physical leasting?		
12	. Бо у	ou and the <i>related person</i> share the same physical location?	⊚	
				=
1.	_	I Name of <i>Related Person</i> : DTT ADVISORS (LONDON), LLC		
2.		ary Business Name of Related Person:		
	ELLI	OTT ADVISORS (LONDON), LLC		
3.	Rela	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	- or			
	Othe	er		
	Pola	tod Parcan's CPD Number (if any):		
4.	Neiai	ted Person's CRD Number (if any):		
5.	(a) (b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (l) (m) (o)	 ▼ other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant banking or thrift institution trust company accountant or accounting firm lawyer or law firm insurance company or agency pension consultant 	Yes	No.
6.	Do y	ou control or are you controlled by the related person?		•
	۸۰۰	you and the related person under common central?	_	
′·	AIE	you and the <i>related person</i> under common <i>control</i> ?	⊚	
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i> 's office responsible for <i>custody</i> of your <i>clients</i> ' Number and Street 1: City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box:		
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes 0	No ©
		If the answer is yes, under what exemption?	O	
	. ,			
10	. ,	Is the related person registered with a foreign financial regulatory authority?	•	0
	(b)	If the answer is yes, list the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registed. Name of Country/Foreign Financial Regulatory Authority	ered.	
		Other - UNITED KINGDOM - FINANCIAL CONDUCT AUTHORITY		

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 25 of 80 11. Do you and the *related person* share any *supervised persons*? \circ 12. Do you and the related person share the same physical location? **(**•) 1. Legal Name of Related Person: PAUL E. SINGER 2. Primary Business Name of Related Person: PAUL F. SINGER Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) Other 4. Related Person's CRD Number (if any): 5. Related Person is: (check all that apply) (a) 🔽 broker-dealer, municipal securities dealer, or government securities broker or dealer (b) V other investment adviser (including financial planners) (c) registered municipal advisor (d) registered security-based swap dealer (e) major security-based swap participant ∇ commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (f) (g) futures commission merchant (h) banking or thrift institution (i) trust company (j) accountant or accounting firm (k) lawver or law firm insurance company or agency (l) (m) pension consultant (n) [real estate broker or dealer (o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles V (p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles Yes No Do you control or are you controlled by the related person? **(** C Are you and the related person under common control? • 8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients? • (b) If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the \circ presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person? (c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets: Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box: Yes No 9. (a) If the related person is an investment adviser, is it exempt from registration? \circ ⊚ (b) If the answer is yes, under what exemption? 10. (a) Is the related person registered with a foreign financial regulatory authority? \circ (b) If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered. No Information Filed

11. Do you and the related person share any supervised persons?	e c
12. Do you and the <i>related person</i> share the same physical location?	© C
Item 7 Private Fund Reporting	
	Yes No
B. Are you an adviser to any <i>private fund</i> ?	Yes No ⊙ ∩
B. Are you an adviser to any <i>private fund</i> ?	

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 26 of 80

If "yes," then for each private fund that you advise, you must complete a Section 7.B.(1) of Schedule D, except in certain circumstances described in the next sentence and in Instruction 6 of the Instructions to Part 1A. If another adviser reports this information with respect to any such private fund in Section 7.B.(1) of Schedule D of its Form ADV (e.g., if you are a subadviser), do not complete Section 7.B.(1) of Schedule D with respect to that private fund. You must, instead, complete Section 7.B.(2) of Schedule D.

In either case, if you seek to preserve the anonymity of a private fund client by maintaining its identity in your books and records in numerical or alphabetical code, or similar designation, pursuant to rule 204-2(d), you may identify the private fund in Section 7.B.(1) or 7.B.(2) of Schedule D using the same code or designation in place of the fund's name.

ECT	ION 7.B.(1) Private Fund Reporting	
A. P	RIVATE FUND	
Info	ormation About the Private Fund	
1.	(a) Name of the <i>private fund</i> : ELLIOTT ASSOCIATES, L.P.	
	(b) Private fund identification number: (include the "805-" prefix also)	
	805-5338890460	
2.	Under the laws of what state or country is the <i>private fund</i> organized:	
	State: Country: Delaware UNITED STATES	
٥.	name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):	
	Name of General Partner, Manager, Trustee, or Director	
	ELLIOTT CAPITAL ADVISORS, L.P.	
	ELLIOTT SPECIAL GP, LLC	
	PAUL SINGER	
4.	The <i>private fund</i> (check all that apply; you must check at least one): (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 194 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 194	
5.	List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered.	
٥.	No Information Filed	
		Yes No
6.	(a) Is this a "master fund" in a master-feeder arrangement?	○ ⊙
	(b) If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ?	
	No Information Filed	
		Yes No
	(c) Is this a "feeder fund" in a master-feeder arrangement?	\circ
	(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests? Name of the Private Fund:	
	Private Fund Identification Number: (include the "805-" prefix also)	
	NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section the master-feeder arrangement or reporting on the funds separately.	on 7.B.(1).
7.	If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), the feeder funds answer the following questions:	, for each of
	No Information Filed	

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 27 of 80

	assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.		
8.	(a) Is this <i>private fund</i> a "fund of funds"?	Yes	
0.	(b) If yes, does the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ?		⊙ ○
	NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, whether or not they are also <i>private funds</i> , or registered investment companies.		
	3 · · · · · · · · · · · · · · · · · · ·	Yes	No
9.	During your last fiscal year, did the <i>private fund</i> invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?	•	0
10.	What type of fund is the <i>private fund</i> ?		
	• hedge fund • liquidity fund • private equity fund • real estate fund • securitized asset fund • venture capital fund • Other private	ate fun	d
	NOTE: For funds of funds, refer to the funds in which the <i>private fund</i> invests. For definitions of these fund types, please see Instruction 6 of Instructions to Part 1A.	of the	
11.	Current gross asset value of the <i>private fund</i> : \$ 15,239,945,127		
<u>Ow</u>	nership		
12.	Minimum investment commitment required of an investor in the <i>private fund</i> : \$ 5,000,000		
	NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in thorganizational documents of the fund).	е	
13.	Approximate number of the <i>private fund</i> 's beneficial owners: 590		
14.	What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 16%		
15.	What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 29%		
16.	What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : 0%		
<u> Υοι</u>	ur Advisory Services	Yes	No
17.	(a) Are you a subadviser to this <i>private fund</i> ?	0	•
	(b) If the answer to question 17(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answer question 17(a) is "no," leave this question blank.	to	
	No Information Filed		
		Yes	No
18.	(a) Do any other investment advisers advise the <i>private fund</i> ?	0	⊚
	(b) If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i> . If the to question 18(a) is "no," leave this question blank.	answe	er
	No Information Filed		
		Yes	No
19.	Are your <i>clients</i> solicited to invest in the <i>private fund</i> ?	0	⊚
20.	Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ? 0%		

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 28 of 80

Doe	s the private fund rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933?	e) (
If ye	es, provide the <i>private fund</i> 's Form D file number (if any):		
For	m D file number		
021	-128042		
RVIO	CE PROVIDERS		
tors			
. 1	(1) Are the <i>private fund</i> 's financial statements subject to an annual audit?		s
1)		•	9
	(2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one auditing firm, you	ou mu	
	complete questions (b) through (f) separately for each auditing firm.	Tu mu	J.
	Additional Auditor Information : 1 Record(s) Filed.		
	If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, must complete questions (b) through (f) separately for each auditing firm.	you	
	(b) Name of the auditing firm: GRANT THORNTON LLP		
	(c) The location of the auditing firm's office responsible for the <i>private fund</i> 's audit (city, state and country):		
	City: Country:		
	NEW YORK New York UNITED STATES		
	(d) Is the auditing firm an independent public accountant?	Yes ⊙	N
			•
	(e) Is the auditing firm registered with the Public Company Accounting Oversight Board?	•	0
	(f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?	•	0
		Ye	es
)	Are the private fund's audited financial statements distributed to the private fund's investors?	0	9
)	Does the report prepared by the auditing firm contain an unqualified opinion?		
	€ Yes C No C Report Not Yet Received		
	If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report	s avai	lab
В	<u>roker</u>	٧،	s
)	Does the <i>private fund</i> use one or more prime brokers?	c	
	If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>private</i> more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.		
	Additional Prime Broker Information : 16 Record(s) Filed.		
	If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.	te fund	d
	(b) Name of the prime broker: BARCLAYS CAPITAL SECURITIES LIMITED		
	(c) If the prime broker is registered with the SEC, its registration number: -		
	CRD Number (if any):		
	(d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country):		

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 29 of 80

City: LONDON		Country: JNITED KINGDOM	
e) Does this prime broke	r act as custodian for some or all of the	private fund's assets?	Yes ©
ses more than one prime	broker, you must complete questions ((e) below for each prime broker the <i>private fund</i> b) through (e) separately for each prime broker.	•
 Name of the prime brown BNP PARIBAS PRIME B 			
t) If the prime broker is 8 - 40490 CRD Number (if any): 24962	registered with the SEC, its registration	number:	
	er's office used principally by the <i>private</i>	e fund (city, state and country):	
City: NEW YORK	State: New York	Country: UNITED STATES	
e) Does this prime broke	r act as custodian for some or all of the	private fund's assets?	Yes ⊙
) Name of the prime bro CITIGROUP GLOBAL M			
CITIGROUP GLOBAL M.		number:	
CITIGROUP GLOBAL M. If the prime broker is 8 - 8177 CRD Number (if any): 7059	ARKETS INC.		
CITIGROUP GLOBAL M.) If the prime broker is 8 - 8177 CRD Number (if any): 7059	ARKETS INC. registered with the SEC, its registration		
CITIGROUP GLOBAL M. If the prime broker is 8 - 8177 CRD Number (if any): 7059 Location of prime broker City: NEW YORK	registered with the SEC, its registration registered with the SEC, its registered with registered regi	e fund (city, state and country): Country: UNITED STATES	Yes ⊙
CITIGROUP GLOBAL M. 2) If the prime broker is 8 - 8177 CRD Number (if any): 7059 3) Location of prime broke City: NEW YORK 4) Does this prime broke 5 the answer to 24(a) is "ses more than one prime broke on Name of the prime broke.	registered with the SEC, its registration ter's office used principally by the private State: New York r act as custodian for some or all of the yes," respond to questions (b) through broker, you must complete questions (b)	e fund (city, state and country): Country: UNITED STATES	uses. If the <i>private fund</i>
CITIGROUP GLOBAL M. If the prime broker is 8 - 8177 CRD Number (if any): 7059 Location of prime broke City: NEW YORK Does this prime broke the answer to 24(a) is " ses more than one prime Name of the prime broke CREDIT SUISSE SECUR	registered with the SEC, its registration ter's office used principally by the private State: New York r act as custodian for some or all of the yes," respond to questions (b) through broker, you must complete questions (b) pker: RITIES (EUROPE) LIMITED	e fund (city, state and country): Country: UNITED STATES private fund's assets? (e) below for each prime broker the private fund b) through (e) separately for each prime broker.	uses. If the <i>private fund</i>
CITIGROUP GLOBAL M. If the prime broker is 8 - 8177 CRD Number (if any): 7059 Location of prime broke City: NEW YORK Does this prime broke the answer to 24(a) is " ses more than one prime Name of the prime broke CREDIT SUISSE SECUR	registered with the SEC, its registration ter's office used principally by the private State: New York r act as custodian for some or all of the yes," respond to questions (b) through broker, you must complete questions (b)	e fund (city, state and country): Country: UNITED STATES private fund's assets? (e) below for each prime broker the private fund b) through (e) separately for each prime broker.	uses. If the <i>private fund</i>
CITIGROUP GLOBAL M. 2) If the prime broker is 8 - 8177 CRD Number (if any): 7059 2) Location of prime broke City: NEW YORK 2) Does this prime broke 3 the answer to 24(a) is "sees more than one prime broke CREDIT SUISSE SECURED If the prime broker is CRD Number (if any): 2) If the prime broker is CRD Number (if any): 3) Location of prime broker is CRD Number (if any):	registered with the SEC, its registration ter's office used principally by the private State: New York r act as custodian for some or all of the yes," respond to questions (b) through broker, you must complete questions (pker: RITIES (EUROPE) LIMITED registered with the SEC, its registration ter's office used principally by the private State:	c fund (city, state and country): Country: UNITED STATES private fund's assets? (e) below for each prime broker the private fund b) through (e) separately for each prime broker. number: e fund (city, state and country): Country:	uses. If the <i>private fund</i>
c) If the prime broker is 8 - 8177 CRD Number (if any): 7059 d) Location of prime broke City: NEW YORK e) Does this prime broke f the answer to 24(a) is "ses more than one prime broke CREDIT SUISSE SECUFORD If the prime broker is CRD Number (if any): d) Location of prime broke City: LONDON	registered with the SEC, its registration ter's office used principally by the private State: New York r act as custodian for some or all of the yes," respond to questions (b) through broker, you must complete questions (pker: RITIES (EUROPE) LIMITED registered with the SEC, its registration ter's office used principally by the private State:	e fund (city, state and country): Country: UNITED STATES private fund's assets? (e) below for each prime broker the private fund b) through (e) separately for each prime broker. number: e fund (city, state and country): Country: UNITED KINGDOM	uses. If the <i>private fund</i>

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 30 of 80

	Name of the prime broker: CREDIT SUISSE SECURITIES	5 (USA) LLC		
(c)	If the prime broker is regis 8 - 422	tered with the SEC, its registration	number:	
	CRD Number (if any): 816			
(d)	Location of prime broker's	office used principally by the <i>private</i>	e fund (city, state and country):	
` ,	City:	State:	Country:	
	NEW YORK	New York	UNITED STATES	Yes
(e)	Does this prime broker act	as custodian for some or all of the	private fund's assets?	<u> </u>
use			(e) below for each prime broker the <i>private func</i> b) through (e) separately for each prime broker	·
` ,	DEUTSCHE BANK SECURITI	ES INC.		
(c)	If the prime broker is regis 8 - 17822	tered with the SEC, its registration	number:	
	CRD Number (if any): 2525			
(d)		office used principally by the <i>private</i>		
	City: NEW YORK	State: New York	Country: UNITED STATES	
				Yes
(e)	Does this prime broker act	as custodian for some or all of the	private fund's assets?	
use	s more than one prime broker:		(e) below for each prime broker the <i>private fund</i> b) through (e) separately for each prime broker	·
	GOLDMAN, SACHS & CO.			
	If the prime broker is regis 8 - 129	tered with the SEC, its registration	number:	
(c)	CRD Number (if any):			
(c)	361			
	Location of prime broker's of	office used principally by the <i>private</i>		
		office used principally by the <i>private</i> State: New York	e fund (city, state and country): Country: UNITED STATES	
(d)	Location of prime broker's of City: NEW YORK	State:	Country: UNITED STATES	Yes ∣ ⊙
(d)	Location of prime broker's of City: NEW YORK Does this prime broker act	State: New York as custodian for some or all of the	Country: UNITED STATES	•

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 31 of 80

	8 - 35008			
	CRD Number (if any):			
	79			
d)	Location of prime broker	r's office used principally by the <i>pri</i>	ivate fund (city, state and country):	
. ,	City:	State:	Country:	
	NEW YORK	New York	UNITED STATES	
۵.	Door this primes business	act as custodian for some or all of	the private finally people?	Yes
	Does this prime broker t	ace as cascodian for some of an or	the private rana 3 assets:	
			ugh (e) below for each prime broker the <i>private fund</i> usns (b) through (e) separately for each prime broker.	es. If the <i>private fund</i>
(b)	Name of the prime broke JEFFERIES LLC	er:		
(c)	If the prime broker is re 8 - 15074	egistered with the SEC, its registrat	tion number:	
	CRD Number (if any): 2347			
d)	Location of prime broker		ivate fund (city, state and country):	
	City:	State:	Country:	
	NEW YORK	New York	UNITED STATES	Yes
٥)	Doos this prime broker	act as custodian for some or all of	the private funds accets?	Yes ©
f tl	ne answer to 24(a) is "ye	es," respond to questions (b) throu	ugh (e) below for each prime broker the <i>private fund</i> us	es. If the <i>private fund</i>
	s more than one prime b		ns (b) through (e) separately for each prime broker.	
נט	MERRILL LYNCH INTERNA			
c)	If the prime broker is re	egistered with the SEC, its registrat	tion number:	
c)	If the prime broker is re - CRD Number (if any):	gistered with the SEC, its registrat	tion number:	
	- CRD Number (if any): Location of prime broker	r's office used principally by the <i>pri</i>	ivate fund (city, state and country):	
	- CRD Number (if any): Location of prime broker City:		<i>ivate fund</i> (city, state and country): Country:	
	- CRD Number (if any): Location of prime broker	r's office used principally by the <i>pri</i>	ivate fund (city, state and country):	Yes
d)	- CRD Number (if any): Location of prime broker City: LONDON	r's office used principally by the <i>pri</i>	ivate fund (city, state and country): Country: UNITED KINGDOM	Yes ⊙
d)	- CRD Number (if any): Location of prime broker City: LONDON	r's office used principally by the <i>pri</i> State:	ivate fund (city, state and country): Country: UNITED KINGDOM	_
d) e)	CRD Number (if any): Location of prime broker City: LONDON Does this prime broker a	r's office used principally by the <i>pri</i> State: act as custodian for some or all of the second of t	ivate fund (city, state and country): Country: UNITED KINGDOM the private fund's assets? ugh (e) below for each prime broker the private fund us	•
d) e) f th	CRD Number (if any): Location of prime broker City: LONDON Does this prime broker and the answer to 24(a) is "yes more than one prime broker).	r's office used principally by the <i>pri</i> State: act as custodian for some or all of the second of t	ivate fund (city, state and country): Country: UNITED KINGDOM the private fund's assets?	•
d) e) f th	CRD Number (if any): Location of prime broker City: LONDON Does this prime broker and the answer to 24(a) is "yes is more than one prime broker."	r's office used principally by the <i>pri</i> State: act as custodian for some or all of the second of t	ivate fund (city, state and country): Country: UNITED KINGDOM the private fund's assets? ugh (e) below for each prime broker the private fund usins (b) through (e) separately for each prime broker.	•
d) e) fthuse b)	CRD Number (if any): Location of prime broker City: LONDON Does this prime broker a me answer to 24(a) is "yes more than one prime b Name of the prime broke MERRILL LYNCH, PIERCE	r's office used principally by the <i>pri</i> State: act as custodian for some or all of the second of t	ivate fund (city, state and country): Country: UNITED KINGDOM the private fund's assets? ugh (e) below for each prime broker the private fund usins (b) through (e) separately for each prime broker.	•
(d) (f thuse	CRD Number (if any): Location of prime broker City: LONDON Does this prime broker and the answer to 24(a) is "yes more than one prime by the management of the prime broker and the prime broker is really the p	r's office used principally by the <i>pri</i> State: act as custodian for some or all of the second to questions (b) throughout the second to questions (b) throughout the second to questions (b) throughout the second to question the second to questions (c) throughout the second to questions (b) throughout the second to questions (b) throughout the second to questions (c) the second throughout throughout the second throughout throughout throughout the second throughout throughout the second throughout throughout throughout throughout the second throughout through the second throughout throughout throughout throughout through the second throughout through the second throughout th	ivate fund (city, state and country): Country: UNITED KINGDOM the private fund's assets? ugh (e) below for each prime broker the private fund usins (b) through (e) separately for each prime broker.	•

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 32 of 80

NEW YORK	Marris Vanda	Country:	
	New York	UNITED STATES	Yes
(e) Does this prime broker	r act as custodian for some or all of t	the <i>private fund</i> 's assets?	es •
		igh (e) below for each prime broker the <i>private fund</i> as (b) through (e) separately for each prime broker.	•
b) Name of the prime bro MORGAN STANLEY & C	ker: O INTERNATIONAL PLC		
c) If the prime broker is	registered with the SEC, its registrat	ion number:	
CRD Number (if any):			
	er's office used principally by the <i>pri</i>		
City: LONDON	State:	Country: UNITED KINGDOM	
e) Does this prime broke	r act as custodian for some or all of t	the <i>private fund</i> 's assets?	Yes ਹ
		igh (e) below for each prime broker the private fundins (b) through (e) separately for each prime broker.	•
MORGAN STANLEY & C		ion number:	
MORGAN STANLEY & C	O. LLC	ion number:	
MORGAN STANLEY & C c) If the prime broker is a 8 - 15869 CRD Number (if any): 8209 d) Location of prime brok	O. LLC registered with the SEC, its registrat er's office used principally by the <i>pri</i>	vate fund (city, state and country):	
MORGAN STANLEY & C c) If the prime broker is a 8 - 15869 CRD Number (if any): 8209	O. LLC registered with the SEC, its registrat		
MORGAN STANLEY & C c) If the prime broker is a 8 - 15869 CRD Number (if any): 8209 d) Location of prime brok City: NEW YORK	O. LLC registered with the SEC, its registrat er's office used principally by the <i>pri</i> State: New York	vate fund (city, state and country): Country: UNITED STATES	Yes
MORGAN STANLEY & C c) If the prime broker is a 8 - 15869 CRD Number (if any): 8209 d) Location of prime brok City: NEW YORK	O. LLC registered with the SEC, its registrat er's office used principally by the <i>pri</i> State:	vate fund (city, state and country): Country: UNITED STATES	Yes ⊙
MORGAN STANLEY & C c) If the prime broker is a 8 - 15869 CRD Number (if any): 8209 d) Location of prime brok City: NEW YORK e) Does this prime broker	O. LLC registered with the SEC, its registrater's office used principally by the principal by the princip	vate fund (city, state and country): Country: UNITED STATES	uses. If the <i>private fun</i>
MORGAN STANLEY & C c) If the prime broker is a 8 - 15869 CRD Number (if any): 8209 d) Location of prime broke City: NEW YORK e) Does this prime broker f the answer to 24(a) is " lises more than one prime	o. LLC registered with the SEC, its registrater's office used principally by the principal broker act as custodian for some or all of the principal broker, you must complete question broker, you must complete question there.	vate fund (city, state and country): Country: UNITED STATES the private fund's assets? Ingh (e) below for each prime broker the private fund	uses. If the <i>private fun</i>
MORGAN STANLEY & C c) If the prime broker is a 8 - 15869 CRD Number (if any): 8209 d) Location of prime broker City: NEW YORK e) Does this prime broker from the answer to 24(a) is "isses more than one prime by Name of the prime broker NOMURA SECURITIES 1	o. LLC registered with the SEC, its registrater's office used principally by the principal broker act as custodian for some or all of the principal broker, you must complete question broker, you must complete question there.	vate fund (city, state and country): Country: UNITED STATES the private fund's assets? Igh (e) below for each prime broker the private fund as (b) through (e) separately for each prime broker.	uses. If the <i>private fun</i>
MORGAN STANLEY & C c) If the prime broker is a 8 - 15869 CRD Number (if any): 8209 d) Location of prime broke City: NEW YORK e) Does this prime broker f the answer to 24(a) is " ses more than one prime b) Name of the prime bro NOMURA SECURITIES I	o. LLC registered with the SEC, its registrater's office used principally by the principal by the	vate fund (city, state and country): Country: UNITED STATES the private fund's assets? Igh (e) below for each prime broker the private fund as (b) through (e) separately for each prime broker.	uses. If the <i>private fun</i>
MORGAN STANLEY & C c) If the prime broker is a 8 - 15869 CRD Number (if any): 8209 d) Location of prime broker is a 15869 CRD Number (if any): 8209 d) Location of prime broker is a 15869 f the answer to 24(a) is "sees more than one prime booked is a 15869 b) Name of the prime broker is a 15879 c) If the prime broker is a 15879 c) If the prime broker is a 15879 d) Location of prime broker is a 15879 d) Location of prime broker is a 15879	o. LLC registered with the SEC, its registrate er's office used principally by the principally by the principally by the principal state: New York r act as custodian for some or all of the principal state of the principal stat	vate fund (city, state and country): Country: UNITED STATES the private fund's assets? Igh (e) below for each prime broker the private fund as (b) through (e) separately for each prime broker. ion number:	uses. If the <i>private fun</i>
MORGAN STANLEY & C c) If the prime broker is a 8 - 15869 CRD Number (if any): 8209 d) Location of prime broker is a 15869 CRD Number (if any): 8209 d) Location of prime broker broker is a 15869 CRD Number (if any): 4297	o. LLC registered with the SEC, its registrate er's office used principally by the principal state: New York r act as custodian for some or all of the principal state in the	vate fund (city, state and country): Country: UNITED STATES the private fund's assets? Igh (e) below for each prime broker the private fund as (b) through (e) separately for each prime broker.	uses. If the <i>private fun</i>
(c) If the prime broker is a 8 - 15869 CRD Number (if any): 8209 (d) Location of prime broker (ity: NEW YORK (e) Does this prime broker (it) the answer to 24(a) is "cuses more than one prime (b) Name of the prime broker is a 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker ity:	on LLC registered with the SEC, its registrate er's office used principally by the principally by the principal of the second o	vate fund (city, state and country): Country: UNITED STATES the private fund's assets? Igh (e) below for each prime broker the private fund as (b) through (e) separately for each prime broker. ion number: vate fund (city, state and country): Country:	uses. If the <i>private fun</i>

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 33 of 80

(b)	Name of the prime broker	:		
(5)	PERSHING LLC			
(c)	If the prime broker is regi	istered with the SEC, its registration	on number:	
	8 - 17574			
	CRD Number (if any): 7560			
(d)	Location of prime broker's	s office used principally by the <i>priv</i> o	ate fund (city, state and country):	
	City:	State:	Country:	
	JERSEY CITY	New Jersey	UNITED STATES	
ļ,,				Ye
(e)	Does this prime broker ac	t as custodian for some or all of th	ne private runa s assets?	
	Name of the prime broker UBS SECURITIES LLC		s (b) through (e) separately for each prime broker.	
(c)	If the prime broker is regi	istered with the SEC, its registration	on number:	
	8 - 22651			
	CRD Number (if any): 7654			
(4)	Location of prime broker's	office used principally by the priva	ate fund (city, state and country):	
(u)			(, , , , , , , , , , , , , , ,	
(u)	City:	State:	Country:	
(u)	City: NEW YORK	State: New York		Vo
	NEW YORK	New York	Country: UNITED STATES	
	NEW YORK		Country: UNITED STATES	Ye ©
	NEW YORK	New York	Country: UNITED STATES	
(e)	NEW YORK	New York	Country: UNITED STATES	<u>©</u>
(e)	NEW YORK Does this prime broker ac	New York It as custodian for some or all of th	Country: UNITED STATES	<u>©</u>
(e)	NEW YORK Does this prime broker act the <i>private fund</i> use any cue answer to 25(a) is "yes,"	New York It as custodian for some or all of the state of	Country: UNITED STATES The private fund's assets? The private fund's assets? The private fund's assets? The private fund's assets? The private fund uses. If the private fund uses. If the private fund uses. If the private fund uses.	•
(e) Does f the	NEW YORK Does this prime broker act the <i>private fund</i> use any cue answer to 25(a) is "yes,"	New York It as custodian for some or all of the state of	Country: UNITED STATES ne private fund's assets? kers listed above) to hold some or all of its assets?	•
(e) Does If the more	Does this prime broker act the private fund use any cue answer to 25(a) is "yes," than one custodian, you mitional Custodian Informational Custodian Information Custodian Custodian Information Custodian Information Custodian Information Custodian Custodian Information Custodian Custodian Information Custodian Custodian Information Custodian	New York It as custodian for some or all of the state of	Country: UNITED STATES The private fund's assets? The private fund's assets? The private fund's assets? The private fund's assets? The private fund uses. If the private fund uses. If the private fund uses. If the private fund uses.	e private fund use
(e) Does if the more Addi	Does this prime broker act the <i>private fund</i> use any cut answer to 25(a) is "yes," than one custodian, you multional Custodian Information the answer to 25(a) is "yes,"	New York It as custodian for some or all of the state of	Country: UNITED STATES The private fund's assets? UNITED STATES The private fund's assets? United States assets assets assets assets? United States assets assets assets assets assets? United States assets asset as asset asset asset asset asset as a second as a second asset as a second as a	e private fund use
(e) Does If the more Addi	Does this prime broker act the <i>private fund</i> use any cut answer to 25(a) is "yes," than one custodian, you multional Custodian Information the answer to 25(a) is "yes,"	New York It as custodian for some or all of the state of	Country: UNITED STATES The private fund's assets? United States and the private fund uses of the second of the s	e private fund use
(e) Does If the more Addi If t mo (b)	NEW YORK Does this prime broker acceptable the private fund use any cure answer to 25(a) is "yes," than one custodian, you must be answer to 25(a) is "yes, are than one custodian, you with the answer to 25(a) is "yes, are than one custodian, you will be answer to 25(a) is "yes, are than one custodian, you be a support that the custodian is the	New York It as custodian for some or all of the state of	Country: UNITED STATES The private fund's assets? United States and the private fund uses of the second of the s	e private fund use
(e) Does of the more Addi If t mo (b)	Does this prime broker acceptance the private fund use any cut answer to 25(a) is "yes," than one custodian, you must itional Custodian Information the answer to 25(a) is "yes, are than one custodian, you be the answer to 25(a) is "yes, are than one custodian, you be the answer to 25(a) is "yes, are than one custodian, you be the answer to 25(b) is "yes, are than one custodian, you be the answer to 25(b) is "yes, are than one custodian." BARCLAYS CAPITAL SECUE Primary business name of BARCLAYS CAPITAL SECUE The location of the custodian.	New York It as custodian for some or all of the state of	Country: UNITED STATES The private fund's assets? United States and the private fund uses of the second of the s	e private fund use
(e) Does of the more Addi If t mo (b)	Does this prime broker act the private fund use any cut answer to 25(a) is "yes," than one custodian, you mitional Custodian Information the answer to 25(a) is "yes, ore than one custodian, you be than one custodian, you be than one custodian, you can be answer to 25(a) is "yes, ore than one custodian; BARCLAYS CAPITAL SECUE." Primary business name of BARCLAYS CAPITAL SECUE. The location of the custod City:	New York It as custodian for some or all of the state of	Country: UNITED STATES the private fund's assets? UNITED STATES The private fund's assets? The private fund's assets? The private fund uses are constant to the private fund uses. If the gh (f) separately for each custodian. The private fund uses are constant to the private fund uses. If the private fund uses are constant to the private fund uses. If the private fund uses are constant to the private fund uses. If the private fund's assets (city, state and country): The private fund's assets (city, state and country): Country:	e private fund use
(e) Does of the more Addi If t mo (b)	Does this prime broker acceptance the private fund use any cut answer to 25(a) is "yes," than one custodian, you must itional Custodian Information the answer to 25(a) is "yes, are than one custodian, you be the answer to 25(a) is "yes, are than one custodian, you be the answer to 25(a) is "yes, are than one custodian, you be the answer to 25(b) is "yes, are than one custodian, you be the answer to 25(b) is "yes, are than one custodian." BARCLAYS CAPITAL SECUE Primary business name of BARCLAYS CAPITAL SECUE The location of the custodian.	New York It as custodian for some or all of the state of	Country: UNITED STATES the private fund's assets? Where some private fund's assets? (f) below for each custodian the private fund uses. If the gh (f) separately for each custodian. (gh (f) below for each custodian the private fund uses. If the pugh (f) separately for each custodian.	e private fund use
(e) Does ff the more Addi If t mo (b) (c)	Does this prime broker act the private fund use any cut answer to 25(a) is "yes," than one custodian, you mitional Custodian Information the answer to 25(a) is "yes, ore than one custodian, you be than one custodian, you be than one custodian, you can be answer to 25(a) is "yes, ore than one custodian; BARCLAYS CAPITAL SECUE." Primary business name of BARCLAYS CAPITAL SECUE. The location of the custod City:	New York It as custodian for some or all of the state as custodians (including the prime browness) are spond to questions (b) through the state as complete questions (b) through the state are spond to questions (c) through the state are spond to	Country: UNITED STATES the private fund's assets? UNITED STATES The private fund's assets? The private fund's assets? The private fund uses are constant to the private fund uses. If the gh (f) separately for each custodian. The private fund uses are constant to the private fund uses. If the private fund uses are constant to the private fund uses. If the private fund uses are constant to the private fund uses. If the private fund's assets (city, state and country): The private fund's assets (city, state and country): Country:	e private fund use

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 34 of 80

CRD Number (if any): If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: BNP PARIBAS PRIME BROKERAGE, INC. (c) Primary business name of custodian: BNP PARIBAS PRIME BROKERAGE, INC. (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): State: Country: **NEW YORK** UNITED STATES New York Yes No (e) Is the custodian a related person of your firm? • (f) If the custodian is a broker-dealer, provide its SEC registration number (if any) 8 - 40490 CRD Number (if any): 24962 If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: CITIBANK N.A. (c) Primary business name of custodian: CITIBANK N.A. (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): State: City: Country: **NEW YORK** New York **UNITED STATES** Yes No (e) Is the custodian a related person of your firm? • (f) If the custodian is a broker-dealer, provide its SEC registration number (if any) CRD Number (if any): If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: CITIGROUP GLOBAL MARKETS INC. (c) Primary business name of custodian: CITIGROUP GLOBAL MARKETS INC. (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: State: Country:

UNITED STATES

Yes No

New York

NEW YORK

(e) Is the custodian a related person of your firm?

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 35 of 80

f) I	f the custodian is a broker-			
8	3 - 8177			
	CRD Number (if any):			
7	7059			
			through (f) below for each custodian the <i>private fund</i> uses. If the <i>pri</i>	vate fund us
ore	e than one custodian, you m	ust complete questions (b) through (f) separately for each custodian.	
-	egal name of custodian:	(EUROPE) LIMITED		
		,		
	Primary business name of co CREDIT SUISSE SECURITIES			
l) T	The location of the custodian	n's office responsible for a	custody of the private fund's assets (city, state and country):	
	City:	State:	Country:	
L	LONDON		UNITED KINGDOM	
\ -				Yes
.) I	s the custodian a <i>related pe</i>	rson of your firm?		0
) I	f the custodian is a broker-	dealer, provide its SEC re	gistration number (if any)	
-	CRD Number (if any):			
ore			through (f) below for each custodian the <i>private fund</i> uses. If the <i>pri</i> b) through (f) separately for each custodian.	vate fund us
ore) L (e than one custodian, you make than one custodian; cegal name of custodian; credit SUISSE SECURITIES crimary business name of cucredit SUISSE SECURITIES che location of the custodian City;	(USA) LLC ustodian: (USA) LLC n's office responsible for o	b) through (f) separately for each custodian. custody of the private fund's assets (city, state and country): Country:	vate fund us
ore) L (e than one custodian, you make than one custodian; creal name of custodian; creal succession of custodian; creal succession of the custodian of the custodian.	ust complete questions ((USA) LLC ustodian: (USA) LLC n's office responsible for a	b) through (f) separately for each custodian. custody of the private fund's assets (city, state and country):	
ore () L () F () T () N	e than one custodian, you make than one custodian; cegal name of custodian; credit SUISSE SECURITIES crimary business name of cucredit SUISSE SECURITIES che location of the custodian City;	ust complete questions ((USA) LLC ustodian: (USA) LLC n's office responsible for office State: New York	b) through (f) separately for each custodian. custody of the private fund's assets (city, state and country): Country:	
ore) L (e than one custodian, you make than one custodian; credit SUISSE SECURITIES Primary business name of custodian; credit SUISSE SECURITIES The location of the custodian City: NEW YORK	(USA) LLC ustodian: (USA) LLC n's office responsible for of State: New York erson of your firm?	b) through (f) separately for each custodian. custody of the private fund's assets (city, state and country): Country: UNITED STATES	Yes
ore (C) (C) (C) (C) (C) (C) (C) (C) (C) (C	e than one custodian, you make than one custodian; cegal name of custodian: credit SUISSE SECURITIES Primary business name of custodian custodian country: custodian city: NEW YORK Is the custodian a related period of the custodian custodian a related period cus	(USA) LLC ustodian: (USA) LLC n's office responsible for of State: New York erson of your firm?	b) through (f) separately for each custodian. custody of the private fund's assets (city, state and country): Country: UNITED STATES	Yes
b) L C C C C C C C C C C C C C C C C C C C	e than one custodian, you me legal name of custodian: CREDIT SUISSE SECURITIES Primary business name of cu CREDIT SUISSE SECURITIES The location of the custodian City: NEW YORK	(USA) LLC ustodian: (USA) LLC n's office responsible for of State: New York erson of your firm?	b) through (f) separately for each custodian. custody of the private fund's assets (city, state and country): Country: UNITED STATES	Yes
(a) (b) (c) (c) (c) (d) (d) (d) (d) (d) (d) (d) (d) (d) (d	Legal name of custodian; Legal name of custodian: CREDIT SUISSE SECURITIES Primary business name of custodian CREDIT SUISSE SECURITIES The location of the custodian City: NEW YORK Les the custodian a related per Left the custodian is a broker- Left the c	(USA) LLC Justodian: (USA) LLC Justodian: (USA) LLC In's office responsible for or State: New York Justodian: Respon of your firm? Justodian: Respond to questions (b) Just complete questions (complete questions) Justodian:	b) through (f) separately for each custodian. custody of the private fund's assets (city, state and country): Country: UNITED STATES	Yes O
ore) L () F () T () I () I () E () P () F () F () F	Legal name of custodian; Legal name of custodian: CREDIT SUISSE SECURITIES Primary business name of custodian CREDIT SUISSE SECURITIES The location of the custodian City: NEW YORK Is the custodian a related per City the custodian is a broker-or an	ust complete questions ((USA) LLC ustodian: (USA) LLC n's office responsible for of State: New York erson of your firm? dealer, provide its SEC re respond to questions (b) nust complete questions (S INC. ustodian: S INC.	custody of the private fund's assets (city, state and country): Country: UNITED STATES cigistration number (if any) through (f) below for each custodian the private fund uses. If the private b) through (f) separately for each custodian.	Yes O
ore core core core core core core core c	Legal name of custodian; Legal name of custodian: CREDIT SUISSE SECURITIES Primary business name of custodian CREDIT SUISSE SECURITIES The location of the custodian City: NEW YORK Is the custodian a related per City the custodian is a broker-or an	ust complete questions ((USA) LLC ustodian: (USA) LLC n's office responsible for of State: New York erson of your firm? dealer, provide its SEC re respond to questions (b) nust complete questions (S INC. ustodian: S INC.	b) through (f) separately for each custodian. custody of the private fund's assets (city, state and country): Country: UNITED STATES egistration number (if any) through (f) below for each custodian the private fund uses. If the pri	Yes C

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 36 of 80

Is the custodian a related person of your firm? C If the custodian is a broker-dealer, provide its SEC registration number (if any) CRD Number (if any): The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund use for than one custodian, you must complete questions (b) through (f) separately for each custodian. D Legal name of custodian: GOLDMAN SACHS BANK USA C Primary business name of custodian: GOLDMAN SACHS BANK USA The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: State: Country: NEW YORK New York UNITED STATES		Is the custodian a related person	ı of your firm?		0
CRD Number (if any): CRD Number (if any):	(f)	If the custodian is a broker-deal	er, provide its SEC registration	on number (if any)	
the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund user than one custodian, you must complete questions (b) through (f) separately for each custodian. DELITICHE BANK TRUST COMPANY AMERICAS Primary business name of custodian: DELITICHE BANK TRUST COMPANY AMERICAS In the location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: NEW YORK New York UNITED STATES Yes If the custodian a related person of your firm? CRD Number (if any): The location is a broker-dealer, provide its SEC registration number (if any) The location is a broker-dealer, provide its SEC registration number (if any) The custodian is a broker-dealer, provide its SEC registration number (if any) The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund users than one custodian, you must complete questions (b) through (f) separately for each custodian. DUDHAN SACHS BANK USA Primary business name of custodian: COLDHAN SACHS BANK USA The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: State: Country: New YORK New York UNITED STATES Yes Yes The Delication of the custodian is a broker-dealer, provide its SEC registration number (if any) The location of the custodian is a broker-dealer, provide its SEC registration number (if any) CRD Number (if any): The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund use or the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund use or the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund use or the answer to 25(a) is "yes," respond to questions (b) through (f) sepa		8 - 17822			
The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund use ore than one custodian, you must complete questions (b) through (f) separately for each custodian. DEUTSCHE BANK TRUST COMPANY AMERICAS Primary business name of custodian: DEUTSCHE BANK TRUST COMPANY AMERICAS The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: State: Country: New York UNITED STATES Yes Is the custodian a related person of your firm? CO Number (if any): The location is a broker-dealer, provide its SEC registration number (if any) - CRD Number (if any): The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses one than one custodian, you must complete questions (b) through (f) separately for each custodian. COLDMAN SACHS BANK USA Primary business name of custodian: GOLDMAN SACHS BANK USA The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): CIty: State: Country: New York New York UNITED STATES Yes Yes The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): CIty: State: Country: New York New York UNITED STATES Yes COLDMAN SACHS BANK USA 1) If the custodian is a broker-dealer, provide its SEC registration number (if any) - CRD Number (if any): The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund use ore than one custodian, you must complete questions (b) through (f) below for each custodian the private fund uses. If the private fund use ore than one custodian, you must complete questions (b) through (f) below for each custodian the private fund uses. If the private fund use or than one custodian, you must complete questions (b) through (f) separately for each custod		` ''			
the answer to 25(a) is "yes," respond to questions (b) through (f) separately for each custodian. DEUTSCHE BANK TRUST COMPANY AMERICAS PRIMARY business name of custodian: DEUTSCHE BANK TRUST COMPANY AMERICAS PRIMARY business name of custodian: DEUTSCHE BANK TRUST COMPANY AMERICAS The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: City: NEW YORK N		2020			
DEUTSCHE BANK TRUST COMPANY AMERICAS Primary business name of custodian: DEUTSCHE BANK TRUST COMPANY AMERICAS The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: NEW YORK New York UNITED STATES Yes Is the custodian a related person of your firm? C CRD Number (if any): The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund use one than one custodian, you must complete questions (b) through (f) separately for each custodian. Degla name of custodian: GOLDMAN SACHS BANK USA The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: NEW YORK New York New York UNITED STATES Yes Is the custodian a related person of your firm? C CAD Number (if any): The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: NEW YORK New York UNITED STATES Yes Is the custodian a related person of your firm? C CHO Number (if any): The location is a broker-dealer, provide its SEC registration number (if any) CRD Number (if any): The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund use ore than one custodian, you must complete questions (b) through (f) separately for each custodian the private fund uses. If the private fund user than one custodian, you must complete questions (b) through (f) separately for each custodian the private fund uses. If the private fund user than one custodian, you must complete questions (b) through (f) separately for each custodian the private fund uses. If the private fund user than one custodian, you must complete questions (b) through (f) separately for each custodian the private fund uses. If the private fund user than one custodian, you must complete questions (b) through (f) separately for each custodian the private fund user.					private fund use
primary business name of custodian: DEUTSCHE BANK TRUST COMPANY AMERICAS 1) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: State: Country: NEW YORK New York UNITED STATES Yes 1) Is the custodian a related person of your firm? CRD Number (if any):	o)	_	NY AMERICAS		
DEUTSCHE BANK TRUST COMPANY AMERICAS I) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): CICLY: State: NeW YORK NeW York UNITED STATES Yes 2) Is the custodian a related person of your firm? CRD Number (if any): The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund user than one custodian, you must complete questions (b) through (f) separately for each custodian. 2) Legal name of custodian: GOLDMAN SACHS BANK USA 2) Primary business name of custodian: GOLDMAN SACHS BANK USA 1) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: State: Country: NEW YORK New York UNITED STATES Yes Yes 1) If the custodian a related person of your firm? CRD Number (if any): The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund user than one custodian is a broker-dealer, provide its SEC registration number (if any) - CRD Number (if any): The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund user than one custodian, you must complete questions (b) through (f) separately for each custodian the private fund uses. If the private fund user than one custodian, you must complete questions (b) through (f) separately for each custodian the private fund uses. If the private fund user than one custodian, you must complete questions (b) through (f) separately for each custodian. 2) Legal name of custodian: GOLDMAN, SACHS & CO. 2) Primary business name of custodian: GOLDMAN, SACHS & CO.					
City: State: Country: NEW YORK New York UNITED STATES Yes If the custodian a related person of your firm? Chapter of the custodian is a broker-dealer, provide its SEC registration number (if any) - CRD Number (if any): the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund use ore than one custodian, you must complete questions (b) through (f) separately for each custodian. Discussion of the custodian: GOLDMAN SACHS BANK USA Primary business name of custodian: GOLDMAN SACHS BANK USA The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: State: Country: NEW YORK UNITED STATES Yes It the custodian a related person of your firm? Chapter of the custodian is a broker-dealer, provide its SEC registration number (if any) - CRD Number (if any): Chapter of the custodian, you must complete questions (b) through (f) below for each custodian the private fund uses. If the private fund use to the answer to 25(a) is "yes," respond to questions (b) through (f) separately for each custodian the private fund uses. If the private fund use to the answer to 25(a) is "yes," respond to questions (b) through (f) separately for each custodian the private fund uses. If the private fund use to the none custodian, you must complete questions (b) through (f) separately for each custodian. Display the private fund uses. If the private fund uses the private fund uses to the private fund uses the private fund uses to the private fund uses the private fund uses to the private fund uses. If the private fund uses to the private fund uses. If the private fund uses to	c)	-			
NEW YORK If the custodian a related person of your firm? Characteristic custodian is a broker-dealer, provide its SEC registration number (if any)	d)	The location of the custodian's c	office responsible for <i>custody</i>	of the <i>private fund</i> 's assets (city, state and country):	
is the custodian a related person of your firm? CRD Number (if any): The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund user to a custodian, you must complete questions (b) through (f) separately for each custodian. Degal name of custodian: GOLDMAN SACHS BANK USA Primary business name of custodian: GOLDMAN SACHS BANK USA The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: State: Country: NEW YORK New York UNITED STATES Yes If the custodian a related person of your firm? C CRD Number (if any): The custodian is a broker-dealer, provide its SEC registration number (if any) - CRD Number (if any): CRD Number (of		-		The state of the s	
If the custodian is a broker-dealer, provide its SEC registration number (if any) CRD Number (if any): The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund use ore than one custodian, you must complete questions (b) through (f) separately for each custodian. Degla name of custodian: GOLDMAN SACHS BANK USA Primary business name of custodian: GOLDMAN SACHS BANK USA The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: NEW YORK New York UNITED STATES Yes Is the custodian a related person of your firm? C CHD Number (if any): The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund user to ach custodian, you must complete questions (b) through (f) separately for each custodian. Degla name of custodian, you must complete questions (b) through (f) separately for each custodian. Degla name of custodian: GOLDMAN, SACHS & CO.	e)	Is the custodian a related person	of your firm?		Yes
The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund user than one custodian, you must complete questions (b) through (f) separately for each custodian. 2) Legal name of custodian: GOLDMAN SACHS BANK USA 2) Primary business name of custodian: GOLDMAN SACHS BANK USA 2) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: City: Country: NeW YORK New York UNITED STATES Yes 2) Is the custodian a related person of your firm? CRD Number (if any): CRD Number (if any): The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund user to custodian, you must complete questions (b) through (f) separately for each custodian. 2) Legal name of custodian: GOLDMAN, SACHS & CO. 2) Primary business name of custodian: GOLDMAN, SACHS & CO.	-,	is the editional a related person	, or your min.		O
The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund use for than one custodian, you must complete questions (b) through (f) separately for each custodian. Description of the custodian: GOLDMAN SACHS BANK USA The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: State: Country: NEW YORK New York UNITED STATES Yes Is the custodian a related person of your firm? CRD Number (if any): The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund use for than one custodian, you must complete questions (b) through (f) separately for each custodian. Description of the custodian: GOLDMAN, SACHS & CO. Description of the custodian: GOLDMAN, SACHS & CO.	f)	If the custodian is a broker-deal	er, provide its SEC registration	on number (if any)	
the custodian, you must complete questions (b) through (f) separately for each custodian. Description Cold		CRD Number (if any):			
the custodian, you must complete questions (b) through (f) separately for each custodian. Description Cold					
GOLDMAN SACHS BANK USA If The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: State: Country: NEW YORK New York UNITED STATES Yes Is the custodian a related person of your firm? C If the custodian is a broker-dealer, provide its SEC registration number (if any) - CRD Number (if any): The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund use for than one custodian, you must complete questions (b) through (f) separately for each custodian. D) Legal name of custodian: GOLDMAN, SACHS & CO.))	=			
City: State: Country: UNITED STATES Yes Is the custodian a related person of your firm? C If the custodian is a broker-dealer, provide its SEC registration number (if any) CRD Number (if any): The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund user than one custodian, you must complete questions (b) through (f) separately for each custodian. D Legal name of custodian: GOLDMAN, SACHS & CO.	c)	•	dian:		
NEW YORK New York UNITED STATES Yes Is the custodian a related person of your firm? C If the custodian is a broker-dealer, provide its SEC registration number (if any) CRD Number (if any): The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund use fore than one custodian, you must complete questions (b) through (f) separately for each custodian. Description:	d)	The location of the custodian's c		of the <i>private fund</i> 's assets (city, state and country):	
Is the custodian a <i>related person</i> of your firm? If the custodian is a broker-dealer, provide its SEC registration number (if any) CRD Number (if any): The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> use fore than one custodian, you must complete questions (b) through (f) separately for each custodian. Description: Descript		-		•	
If the custodian is a broker-dealer, provide its SEC registration number (if any) CRD Number (if any): The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund user than one custodian, you must complete questions (b) through (f) separately for each custodian. Description: Description					Yes
CRD Number (if any): The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses fore than one custodian, you must complete questions (b) through (f) separately for each custodian. D) Legal name of custodian: GOLDMAN, SACHS & CO. E) Primary business name of custodian: GOLDMAN, SACHS & CO.	e)	Is the custodian a related person	of your firm?		0
the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> us nore than one custodian, you must complete questions (b) through (f) separately for each custodian. b) Legal name of custodian: GOLDMAN, SACHS & CO. c) Primary business name of custodian: GOLDMAN, SACHS & CO.		If the custodian is a broker-deal	er provide its SEC registrati	on number (if any)	
Display the control of the control o	F)	_	er, provide its SEC registrati	on number (ii arry)	
GOLDMAN, SACHS & CO. Primary business name of custodian: GOLDMAN, SACHS & CO.	f)	-	er, provide its SEC registrati	on number (ii arry)	
GOLDMAN, SACHS & CO.	f th	CRD Number (if any): ne answer to 25(a) is "yes," resprethan one custodian, you must	ond to questions (b) through	n (f) below for each custodian the <i>private fund</i> uses. If the	private fund use
1) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund</i> 's assets (city, state and country):	f th	CRD Number (if any): ne answer to 25(a) is "yes," response than one custodian, you must Legal name of custodian: GOLDMAN, SACHS & CO.	ond to questions (b) through complete questions (b) throu	n (f) below for each custodian the <i>private fund</i> uses. If the	private fund use
City: State: Country:	f th	cRD Number (if any): ne answer to 25(a) is "yes," response than one custodian, you must Legal name of custodian: GOLDMAN, SACHS & CO.	ond to questions (b) through complete questions (b) throu	n (f) below for each custodian the <i>private fund</i> uses. If the	private fund use

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 37 of 80

e) Is t			UNITED STATES	Yes
	the custodian a related person o	f your firm?		0
) If t	the custodian is a broker-dealer,	, provide its SEC registrati	on number (if any)	
	129		· , ,	
CRI	D Number (if any):			
361	1			
			n (f) below for each custodian the <i>private fund</i> uses. If the <i>pri</i> ough (f) separately for each custodian.	vate fund us
	gal name of custodian: . MORGAN SECURITIES LLC			
-	mary business name of custodia . MORGAN SECURITIES LLC	in:		
d) The	e location of the custodian's offi	ce responsible for <i>custody</i>	of the <i>private fund</i> 's assets (city, state and country):	
City		State:	Country:	
	W YORK	New York	UNITED STATES	
				Yes
e) Is t	the custodian a <i>related person</i> o	f your firm?		0
79				
			n (f) below for each custodian the <i>private fund</i> uses. If the <i>pri</i> ugh (f) separately for each custodian.	vate fund us
	, ,	imprete questions (b) time	ugii (i) separately for each custoulan.	
o) Leg	gal name of custodian: FERIES LLC	implece questions (b) time	ugii (i) separately for each custoulan.	
D) Leg JEF C) Prir	gal name of custodian:		ugii (i) separately for each custoulan.	
D) Leg JEF C) Prir JEF	gal name of custodian: FFERIES LLC mary business name of custodia FFERIES LLC e location of the custodian's offi	nn: ce responsible for <i>custody</i>	of the <i>private fund</i> 's assets (city, state and country):	
D) Leg JEF D) Prin JEF JEF City	gal name of custodian: FFERIES LLC mary business name of custodia FFERIES LLC e location of the custodian's offi	in:		
D) Leg JEF D) Prin JEF JEF City	gal name of custodian: FFERIES LLC mary business name of custodia FFERIES LLC e location of the custodian's offi	nn: ce responsible for <i>custody</i> State:	of the <i>private fund</i> 's assets (city, state and country): Country:	Yes
) Leg JEF) Prir JEF () The City NEV	gal name of custodian: FFERIES LLC mary business name of custodia FFERIES LLC e location of the custodian's offi	on: ce responsible for <i>custody</i> State: New York	of the <i>private fund</i> 's assets (city, state and country): Country:	
D) Leg JEF C) Prir JEF d) The City NEV	gal name of custodian: FFERIES LLC mary business name of custodia FFERIES LLC e location of the custodian's offi y: W YORK	on: ce responsible for <i>custody</i> State: New York f your firm?	of the <i>private fund</i> 's assets (city, state and country): Country: UNITED STATES	Yes
JEF Def Jef Def Jef City NEV Is t 8 -	gal name of custodian: FFERIES LLC mary business name of custodia FFERIES LLC e location of the custodian's offi y: W YORK the custodian a related person of the custodian is a broker-dealer, 15074 D Number (if any):	on: ce responsible for <i>custody</i> State: New York f your firm?	of the <i>private fund</i> 's assets (city, state and country): Country: UNITED STATES	Yes
JEF Definition of the action	gal name of custodian: FERIES LLC mary business name of custodia FERIES LLC e location of the custodian's offi y: W YORK the custodian a related person of the custodian is a broker-dealer, 15074 D Number (if any): 47	ce responsible for <i>custody</i> State: New York f your firm? provide its SEC registrati	of the <i>private fund</i> 's assets (city, state and country): Country: UNITED STATES	Yes O

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 38 of 80

(d)	The location of the custodian's off	ice responsible for cus	stody of the privat	re fund's assets (city, state and country):	
	City:	State:		Country:	
	NEW YORK	New York		UNITED STATES	
					Yes No
(e)	Is the custodian a related person of	of your firm?			o ⊙
(f)	If the custodian is a broker-dealer	, provide its SEC regis	stration number (if any)	
	-				
	CRD Number (if any):				
T	the answer to 3E(a) is "yes " respec	nd to questions (h) th	rough (f) holow fo	or each custodian the private funduces. If th	o privato funducas
	ore than one custodian, you must co			or each custodian the <i>private fund</i> uses. If the rately for each custodian.	le private runu uses
	, , , , , , , , , , , , , , , , , , ,	, , , , , , , , , , , , , , , , , , , ,	, , , , , ,	,	
(b)	Legal name of custodian:				
()	MERRILL LYNCH INTERNATIONAL L	IMITED			
(c)	Primary business name of custodi	an:			
	MERRILL LYNCH INTERNATIONAL L	.IMITED			
(d)	The location of the custodian's off	ice responsible for cus	stody of the privat	re fund's assets (city, state and country):	
	City:	State:	Country:		
	LONDON		UNITED KIN	GDOM	
					Yes No
(e)	Is the custodian a related person of	of your firm?			0 0
(f)	If the custodian is a broker-dealer	, provide its SEC regis	stration number (if any)	
	-				
	CRD Number (if any):				
If t	the answer to 25(a) is "ves." respo	nd to guestions (b) th	rough (f) below fo	or each custodian the <i>private fund</i> uses. If th	e <i>private fund</i> uses
	ore than one custodian, you must co				e privace rama acco
(b)	Legal name of custodian:				
	MERRILL LYNCH, PIERCE, FENNER	& SMITH INCORPORAT	ΓED		
(c)	Primary business name of custodi				
	MERRILL LYNCH, PIERCE, FENNER	& SMITH INCORPORAT	ΓED		
		_			
(d)			stody of the <i>privat</i>	re fund's assets (city, state and country):	
	City:	State:		Country:	
	NEW YORK	New York		UNITED STATES	V N
(-)	To the quatedian - maletad m	of wave firms?			Yes No
(e)	Is the custodian a related person of	or your firm?			0 0
(f)	If the custodian is a broker-dealer	, provide its SEC regis	stration number (it any)	
	8 - 7221				
	CRD Number (if any):				
	7691				
If t	the answer to 25(a) is "yes," respo	nd to questions (b) th	rough (f) below fo	or each custodian the <i>private fund</i> uses. If th	e <i>private fund</i> uses

If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the *private fund* uses. If the *private fund* uses more than one custodian, you must complete questions (b) through (f) separately for each custodian.

(b) Legal name of custodian: MORGAN STANLEY & CO INTERNATIONAL PLC

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 39 of 80

(c)	Primary business name of cus MORGAN STANLEY & CO INTE				
(4)	The location of the custodian	's office responsible for c	custody of the private fund's assets (city, state and country):		
(-)	City:	State:	Country:		
	LONDON		UNITED KINGDOM		
				Yes	No
(e)	Is the custodian a related per	son of your firm?		0	⊚
(f)	If the custodian is a broker-d	ealer, provide its SEC reç	gistration number (if any)		
	CRD Number (if any):				
mo			through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fu</i> b) through (f) separately for each custodian.	<i>nd</i> us	es
(c)	MORGAN STANLEY & CO. LLC Primary business name of cus MORGAN STANLEY & CO. LLC	stodian:			
(d)	The location of the custodian	's office responsible for <i>c</i>	custody of the private fund's assets (city, state and country):		
	City:	State:	Country:		
	NEW YORK	New York	UNITED STATES		
(e)	Is the custodian a related per	son of your firm?		Yes O	No ⊙
(f)	If the custodian is a broker-d	ealer, provide its SEC req	gistration number (if any)		
	8 - 15869				
	CRD Number (if any): 8209				
			through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fu</i> b) through (f) separately for each custodian.	nd us	es
(b)	Legal name of custodian: NOMURA SECURITIES INTERN	ATIONAL, INC.			
(c)	Primary business name of cus NOMURA SECURITIES INTERN				
(d)	The location of the custodian		custody of the private fund's assets (city, state and country):		
	City: NEW YORK	State: New York	Country: UNITED STATES		
	NEW TORK	New Tork	UNITED STATES	Yes	No
(e)	Is the custodian a related per	son of your firm?		0	•
(f)	If the custodian is a broker-d	ealer, provide its SEC req	gistration number (if any)		
	8 - 15255 CRD Number (if any):				
	4297				

If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the *private fund* uses. If the *private fund* uses more than one custodian, you must complete questions (b) through (f) separately for each custodian.

(b) Legal name of custodian:

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 40 of 80 PERSHING LLC (c) Primary business name of custodian: PERSHING LLC (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): State: Country: JERSEY CITY New Jersey **UNITED STATES** Yes No (e) Is the custodian a related person of your firm? **©** (f) If the custodian is a broker-dealer, provide its SEC registration number (if any) 8 - 17574 CRD Number (if any): 7560 If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: STATE STREET BANK AND TRUST COMPANY (c) Primary business name of custodian: STATE STREET BANK AND TRUST COMPANY (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): State: **BOSTON** Massachusetts **UNITED STATES** Yes No (e) Is the custodian a related person of your firm? \odot (f) If the custodian is a broker-dealer, provide its SEC registration number (if any) CRD Number (if any): If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: THE BANK OF NEW YORK MELLON (c) Primary business name of custodian: THE BANK OF NEW YORK MELLON (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): State: Country: City: **NEW YORK** New York **UNITED STATES** Yes No (e) Is the custodian a related person of your firm? ⊚ 0 (f) If the custodian is a broker-dealer, provide its SEC registration number (if any)

If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the *private fund* uses. If the *private fund* uses more than one custodian, you must complete questions (b) through (f) separately for each custodian.

CRD Number (if any):

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 41 of 80

(c) Drimam, husin	custodiana		
(c) Primary business name of UBS SECURITIES LLC	custodian:		
(d) The location of the custoo	ian's office responsible for <i>custody</i>	of the <i>private fund</i> 's assets (city, state and country):	
City:	State:	Country:	
NEW YORK	New York	UNITED STATES	Y
(e) Is the custodian a related	person of your firm?		c
(f) If the custodian is a broke	er-dealer, provide its SEC registration	on number (if any)	
8 - 22651	r-dealer, provide its SEC registration	in number (ii any)	
CRD Number (if any):			
7654			
			
<u>trator</u>			
•	ministrator other than your firm?		
	respond to questions (b) through (f (f) separately for each administrate	 below. If the private fund uses more than one admit or. 	nistrator, you mi
Additional Administrator Info			
Additional Administrator Info	mation : 2 record(3) i nea:		
	th (f) separately for each administra	(f) below. If the private fund uses more than one addator.	
HARMONIC FUND SERVICE			
(c) Location of administrator	(city, state and country):		
	Chahai	Country:	
City: GRAND CAYMAN	State:	CAYMAN ISLANDS	
City: GRAND CAYMAN	State:	CAYMAN ISLANDS	Yes
1		CAYMAN ISLANDS	Yes O
GRAND CAYMAN (d) Is the administrator a <i>rela</i>	nted person of your firm?		
GRAND CAYMAN (d) Is the administrator a <i>rela</i> (e) Does the administrator p	nted person of your firm? repare and send investor account s	CAYMAN ISLANDS tatements to the <i>private fund</i> 's investors? but not all investors) No (provided to no investors	0
GRAND CAYMAN (d) Is the administrator a <i>rela</i> (e) Does the administrator p	nted person of your firm? repare and send investor account s	tatements to the <i>private fund</i> 's investors?	0
GRAND CAYMAN (d) Is the administrator a relative formula (e) Does the administrator properties (provided to all inverse) (f) If the answer to 26(e) is	repare and send investor account sestors) Some (provided to some "no" or "some," who sends the invents are not sent to the (rest of the)	tatements to the <i>private fund</i> 's investors?	O (S)
GRAND CAYMAN (d) Is the administrator a relative form of the provided to all involves (f) If the answer to 26(e) is investor account stateme	repare and send investor account sestors) Some (provided to some "no" or "some," who sends the invents are not sent to the (rest of the)	tatements to the <i>private fund</i> 's investors? but not all investors) No (provided to no investors) estor account statements to the (rest of the) <i>private i</i>	O (S)
GRAND CAYMAN (d) Is the administrator a relative (e) Does the administrator properties (provided to all inverse) (f) If the answer to 26(e) is investor account stateme REGISTRANT AND ITS AFF.	repare and send investor account sestors) Some (provided to some "no" or "some," who sends the invents are not sent to the (rest of the)	tatements to the <i>private fund</i> 's investors? but not all investors) No (provided to no investors estor account statements to the (rest of the) <i>private in private fund</i> 's investors, respond "not applicable." (f) below. If the <i>private fund</i> uses more than one additional entire investors.	s) fund's investors?
GRAND CAYMAN (d) Is the administrator a relative (e) Does the administrator properties (provided to all inverse) (f) If the answer to 26(e) is investor account stateme REGISTRANT AND ITS AFF.	repare and send investor account sestors) Some (provided to some "no" or "some," who sends the invents are not sent to the (rest of the) ELIATED ENTITIES.	tatements to the <i>private fund</i> 's investors? but not all investors) No (provided to no investors estor account statements to the (rest of the) <i>private in private fund</i> 's investors, respond "not applicable." (f) below. If the <i>private fund</i> uses more than one additional entire investors.	fund's investors?
GRAND CAYMAN (d) Is the administrator a relative (e) Does the administrator property (f) If the answer to 26(e) is investor account stateme REGISTRANT AND ITS AFF. If the answer to 26(a) is "yes complete questions (b) through	repare and send investor account sestors) Some (provided to some "no" or "some," who sends the invents are not sent to the (rest of the) LIATED ENTITIES. "respond to questions (b) through the (f) separately for each administratic	tatements to the <i>private fund</i> 's investors? but not all investors) No (provided to no investors estor account statements to the (rest of the) <i>private in private fund</i> 's investors, respond "not applicable." (f) below. If the <i>private fund</i> uses more than one additional entire investors.	fund's investors?
GRAND CAYMAN (d) Is the administrator a relative form of the answer to 26(e) is investor account stateme REGISTRANT AND ITS AFF. If the answer to 26(a) is "yes complete questions (b) through the administrato"	repare and send investor account sestors) Some (provided to some "no" or "some," who sends the invents are not sent to the (rest of the) LIATED ENTITIES. " respond to questions (b) through the (f) separately for each administration."	tatements to the <i>private fund</i> 's investors? but not all investors) No (provided to no investors estor account statements to the (rest of the) <i>private in private fund</i> 's investors, respond "not applicable." (f) below. If the <i>private fund</i> uses more than one additional entire investors.	fund's investors?
GRAND CAYMAN (d) Is the administrator a relative to the administrator of the administrator of the answer to 26(e) is investor account stateme REGISTRANT AND ITS AFF. If the answer to 26(a) is "yes complete questions (b) through the administrato the BANK OF NEW YORK	repare and send investor account sestors) Some (provided to some "no" or "some," who sends the invents are not sent to the (rest of the) LIATED ENTITIES. " respond to questions (b) through the (f) separately for each administration."	tatements to the <i>private fund</i> 's investors? but not all investors) No (provided to no investors estor account statements to the (rest of the) <i>private in private fund</i> 's investors, respond "not applicable." (f) below. If the <i>private fund</i> uses more than one additional entire investors.	fund's investors?

		Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 42 of 80 CYes (provided to all investors) Some (provided to some but not all investors) No (provided to no investors)
	(f)	If the answer to 26(e) is "no" or "some," who sends the investor account statements to the (rest of the) <i>private fund</i> 's investors? If investor account statements are not sent to the (rest of the) <i>private fund</i> 's investors, respond "not applicable." REGISTRANT AND ITS AFFILIATED ENTITIES.
		our last fiscal year, what percentage of the <i>private fund</i> 's assets (by value) was valued by a <i>person</i> , such as an administrator, that is not ted person?
()%	only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any

relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to 28(a) is "yes", respond to questions (b) through (g) below for each such marketer the private fund uses. If the

No Information Filed

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

[(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 🗹 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940

Private Fund Identification Number

805-2174036634

List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.

(b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund?

(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

Yes No

Yes No

Yes No

•

(\circ

Marketers

A. PRIVATE FUND

Information About the Private Fund

1. (a) Name of the *private fund*:

805-1428688771

State:

HAMBLEDON, INC.

Private Fund Name

ELLIOTT INTERNATIONAL LIMITED

Name of the Private Fund:

ELLIOTT INTERNATIONAL, L.P. (b) Private fund identification number: (include the "805-" prefix also)

2. Under the laws of what state or country is the *private fund* organized:

Name of General Partner, Manager, Trustee, or Director

4. The private fund (check all that apply; you must check at least one):

6. (a) Is this a "master fund" in a master-feeder arrangement?

(c) Is this a "feeder fund" in a master-feeder arrangement?

Name of Country/English Name of Foreign Financial Regulatory Authority Other - CAYMAN ISLANDS - CAYMAN ISLANDS MONETARY AUTHORITY

Country: CAYMAN ISLANDS

3. Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

allocations) was the valuation determined by such person.

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 43 of 80

Private Fund Identification Number: (include the "805-" prefix also)

8.

9.

10.

Instructions to Part 1A.

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1). for the master-feeder arrangement or reporting on the funds separately.

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for each of the feeder funds answer the following questions:

the reed	er runds answer the rollowing questions:	
Additio	nal Feeder Fund Information : 1 Record(s) Filed.	
	ou are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1 the feeder funds answer the following questions:	.), for
(a)	Name of the <i>private fund</i> :	
	ELLIOTT INTERNATIONAL LIMITED	
(b)	Private fund identification number: (include the "805-" prefix also) 805-2174036634	
(c)	Under the laws of what state or country is the <i>private fund</i> organized:	
	State: Country:	
	CAYMAN ISLANDS	
(d)	Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):	
	Name of General Partner, Manager, Trustee, or Director	
	DAVID BREE	
	ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC.	
	MYRON KAPLAN	
	(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940	
(f)	List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered.	
	Name of Country/English Name of Foreign Financial Regulatory Authority	
	Other - CAYMAN ISLANDS - CAYMAN ISLANDS MONETARY AUTHORITY	
assets in	or purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund.	
(a) Is th	is <i>private fund</i> a "fund of funds"?	0 6
. ,	es, does the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ?	
. , ,	or purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment	0 0
vehicles,	whether or not they are also <i>private funds</i> , or registered investment companies.	
		Yes N
	our last fiscal year, did the <i>private fund</i> invest in securities issued by investment companies registered under the Investment y Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)?	© 0
What typ	be of fund is the <i>private fund</i> ?	
⊙ hedg	e fund $^{f C}$ liquidity fund $^{f C}$ private equity fund $^{f C}$ real estate fund $^{f C}$ securitized asset fund $^{f C}$ venture capital fund $^{f C}$ Other <i>prival</i>	te fund

NOTE: For funds of funds, refer to the funds in which the private fund invests. For definitions of these fund types, please see Instruction 6 of the

11.	1. Current gross asset value of the <i>private fund</i> : \$ 29,939,036,795		
<u>Ow</u>	wnership		
12.	2. Minimum investment commitment required of an investor in the <i>private fund</i> : \$ 5,000,000 NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in organizational documents of the fund).	the	
13.	3. Approximate number of the <i>private fund</i> 's beneficial owners: 562		
14.	1. What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> :		
15.	5. What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 29%		
16.	5. What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : 44%		
Yo	our Advisory Services		
17.	7. (a) Are you a subadviser to this <i>private fund</i> ?	Yes O	No ⊙
	(b) If the answer to question 17(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answ question 17(a) is "no," leave this question blank.		٠
	No Information Filed		
		Yes	No
10	3. (a) Do any other investment advisers advise the <i>private fund</i> ?	•	_
10.		***	\circ
10.	(b) If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i> . If the to question 18(a) is "no," leave this question blank.	-	
10.	to question 18(a) is "no," leave this question blank. Name of Other Adviser to private fund CRD number CRD number	ne answe	
10.	to question 18(a) is "no," leave this question blank.	ne answe	
	to question 18(a) is "no," leave this question blank. Name of Other Adviser to private fund CRD number CRD number	ne answe	er
19.	to question 18(a) is "no," leave this question blank. Name of Other Adviser to private fund ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC. CRD number	r Yes	er No
19. 20.	to question 18(a) is "no," leave this question blank. Name of Other Adviser to private fund ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC. Are your <i>clients</i> solicited to invest in the <i>private fund</i> ? Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ?	Yes	No ©
19. 20.	to question 18(a) is "no," leave this question blank. Name of Other Adviser to private fund ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC. O. Are your <i>clients</i> solicited to invest in the <i>private fund</i> ? O. Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ? O'' O'' O'' Civate Offering	r Yes O	No ©
19. 20.	to question 18(a) is "no," leave this question blank. Name of Other Adviser to private fund ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC. O. Are your <i>clients</i> solicited to invest in the <i>private fund</i> ? O. Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ? 0%	Yes	No ©
19. 20. <u>Pri</u>	to question 18(a) is "no," leave this question blank. Name of Other Adviser to private fund ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC. O. Are your <i>clients</i> solicited to invest in the <i>private fund</i> ? O. Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ? O'' O'' O'' Civate Offering	r Yes O	No ©
19. 20. <u>Pri</u>	to question 18(a) is "no," leave this question blank. Name of Other Adviser to private fund ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC. D. Are your clients solicited to invest in the private fund? O. Approximately what percentage of your clients has invested in the private fund? O''s over the private fund rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933? If yes, provide the private fund's Form D file number (if any): Form D file number	r Yes O	No ©
19. 20. <u>Pri</u>	to question 18(a) is "no," leave this question blank. Name of Other Adviser to private fund ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC. D. Are your clients solicited to invest in the private fund? D. Approximately what percentage of your clients has invested in the private fund? O'' O'' Tivate Offering Does the private fund rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933? D. If yes, provide the private fund's Form D file number (if any):	r Yes O	No ©
19. 20. Pri 21. 22.	to question 18(a) is "no," leave this question blank. Name of Other Adviser to private fund ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC. 2. Are your <i>clients</i> solicited to invest in the <i>private fund</i> ? 2. Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ? 2. Does the <i>private fund</i> rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933? 2. If yes, provide the <i>private fund</i> 's Form D file number (if any): Form D file number 021-128043	r Yes O	No ©
19. 20. Pri 21. 22.	to question 18(a) is "no," leave this question blank. Name of Other Adviser to private fund ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC. D. Are your clients solicited to invest in the private fund? O. Approximately what percentage of your clients has invested in the private fund? O''s over the private fund rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933? If yes, provide the private fund's Form D file number (if any): Form D file number	r Yes O	No ©
19. 20. Pri 21. 22.	to question 18(a) is "no," leave this question blank. Name of Other Adviser to private fund ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC. 2. Are your <i>clients</i> solicited to invest in the <i>private fund</i> ? 2. Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ? 2. Does the <i>private fund</i> rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933? 2. If yes, provide the <i>private fund</i> 's Form D file number (if any): Form D file number 021-128043	r Yes O	No ©
19. 20. Pri 21. 22. B. S	to question 18(a) is "no," leave this question blank. Name of Other Adviser to private fund ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC. D. Are your clients solicited to invest in the private fund? D. Approximately what percentage of your clients has invested in the private fund? O% Fivate Offering Does the private fund rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933? If yes, provide the private fund's Form D file number (if any): Form D file number O21-128043 SERVICE PROVIDERS Additors	Yes Yes	No C
19. 20. Pri 21. 22. B. S	to question 18(a) is "no," leave this question blank. Name of Other Adviser to private fund ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC. D. Are your clients solicited to invest in the private fund? D. Approximately what percentage of your clients has invested in the private fund? O% Private Offering Does the private fund rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933? If yes, provide the private fund's Form D file number (if any): Form D file number O21-128043 SERVICE PROVIDERS Juiltors Jui	Yes Yes Yes	No C
19. 20. Pri 21. 22. B. S	to question 18(a) is "no," leave this question blank. Name of Other Adviser to private fund ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC. D. Are your clients solicited to invest in the private fund? O. Approximately what percentage of your clients has invested in the private fund? O% Civate Offering Does the private fund rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933? If yes, provide the private fund's Form D file number (if any): Form D file number O21-128043 SERVICE PROVIDERS Juiltors Juil	Yes Yes Yes O	No C
19. 20. Pri 21. 22. B. S	to question 18(a) is "no," leave this question blank. Name of Other Adviser to private fund ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC. D. Are your clients solicited to invest in the private fund? D. Approximately what percentage of your clients has invested in the private fund? O% Private Offering Does the private fund rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933? If yes, provide the private fund's Form D file number (if any): Form D file number O21-128043 SERVICE PROVIDERS Juiltors Jui	Yes Yes Yes O	No C

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 45 of 80

(b) Name of	the auditing firm:				
GRANT T	HORNTON				
(c) The loca	tion of the auditing firm'	s office responsible for the <i>pri</i>	vate fund's audit (city, state and country):		
City: GRAND (ZAWAN	State:	Country: CAYMAN ISLANDS		
GRAND	ZATPIAN		CATHAN ISLANDS	Yes	s N
(d) Is the au	uditing firm an <i>independe</i>	ent public accountant?		⊙	1
(e) Is the au	uditing firm registered w	ith the Public Company Accou	nting Oversight Board?	•	
	to (e) above, is the audince with its rules?	ting firm subject to regular ins	spection by the Public Company Accounting Oversight Board in	0	-
		espond to questions (b) through (f) separately for each auditi	gh (f) below. If the <i>private fund</i> uses more than one auditing firm ng firm.	ı, you	
11	the auditing firm:				
(c) The loca	tion of the auditing firm'	s office responsible for the <i>pri</i>	vate fund's audit (city, state and country):		
City:		State:	Country:		
NEW YO	RK	New York	UNITED STATES	V	
(d) Is the au	ıditing firm an <i>independe</i>	ent public accountant?		Yes	5
(5) 12 1112 21				٠	
(e) Is the au	ıditing firm registered w	ith the Public Company Accou	nting Oversight Board?	⊚	
` ' '	to (e) above, is the audince with its rules?	ting firm subject to regular ins	spection by the Public Company Accounting Oversight Board in	•	
				Y	'es
Are the <i>private</i>	fund's audited financial	statements distributed to the	private fund's investors?		⊚
Does the repo	t prepared by the auditi	ing firm contain an unqualified	d opinion?		
	C Report Not Yet Recei				
If you check "R	eport Not Yet Received,"	you must promptly file an amei	ndment to your Form ADV to update your response when the repor	t is ava	iila
<u>Broker</u>				Y	'es
Does the <i>priva</i>	te fund use one or more	prime brokers?			•
	. , ,) below for each prime broker the <i>private fund</i> uses. If the <i>privat</i> igh (e) separately for each prime broker.	e fund	us
Additional Pr	ime Broker Information	n : 16 Record(s) Filed.			
II.	. , , , .		(e) below for each prime broker the <i>private fund</i> uses. If the <i>priv</i> b) through (e) separately for each prime broker.	ate fur	nd
11	the prime broker: 'S CAPITAL SECURITIES	LIMITED			
(c) If the pr	ime broker is registered	with the SEC, its registration	number:		
-					
- CRD Nur	nber (if any):				
- CRD Nur	nber (if any):				

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 46 of 80

LONDON		UNITED KINGDOM	Yes I
e) Does this prime broker	act as custodian for some or	all of the <i>private fund</i> 's assets?	© (
		through (e) below for each prime broker the <i>private fund</i> suestions (b) through (e) separately for each prime broker	
) Name of the prime brol BNP PARIBAS PRIME BR			
If the prime broker is r 8 - 40490 CRD Number (if any):	egistered with the SEC, its re	gistration number:	
24962			
	er's office used principally by t State:	the <i>private fund</i> (city, state and country):	
City: NEW YORK	New York	Country: UNITED STATES	
) Doos this prima broker	act as sustedian for some or	all of the <i>private fund</i> 's assets?	Yes □
CITIGROUP GLOBAL MA If the prime broker is r 8 - 8177 CRD Number (if any): 7059	RKETS INC. egistered with the SEC, its re	gistration number: the <i>private fund</i> (city, state and country):	
CITIGROUP GLOBAL MA If the prime broker is r 8 - 8177 CRD Number (if any): 7059 Location of prime broke City:	egistered with the SEC, its re er's office used principally by to	the <i>private fund</i> (city, state and country): Country:	
CITIGROUP GLOBAL MA If the prime broker is r 8 - 8177 CRD Number (if any): 7059 Location of prime broke	RKETS INC. registered with the SEC, its re	the <i>private fund</i> (city, state and country):	Yes
CITIGROUP GLOBAL MA) If the prime broker is r 8 - 8177 CRD Number (if any): 7059) Location of prime broke City: NEW YORK	egistered with the SEC, its reservise office used principally by the State: New York	the <i>private fund</i> (city, state and country): Country:	_
CITIGROUP GLOBAL MA If the prime broker is r 8 - 8177 CRD Number (if any): 7059 Location of prime broker City: NEW YORK Does this prime broker the answer to 24(a) is "y les more than one prime Name of the prime brol CREDIT SUISSE SECUR	egistered with the SEC, its reservis office used principally by the State: New York act as custodian for some or yes," respond to questions (b) broker, you must complete questions.	the <i>private fund</i> (city, state and country): Country: UNITED STATES all of the <i>private fund</i> 's assets? through (e) below for each prime broker the <i>private fund</i> uestions (b) through (e) separately for each prime broker	⊙ # uses. If the <i>private fund</i>
CITIGROUP GLOBAL MA) If the prime broker is r 8 - 8177 CRD Number (if any): 7059) Location of prime broker City: NEW YORK) Does this prime broker the answer to 24(a) is "y ies more than one prime) Name of the prime brok CREDIT SUISSE SECUR) If the prime broker is r - CRD Number (if any):) Location of prime broker	egistered with the SEC, its reser's office used principally by the State: New York act as custodian for some or yes," respond to questions (b) broker, you must complete questions (complete questions) ker: ITIES (EUROPE) LIMITED registered with the SEC, its reser's office used principally by the	the private fund (city, state and country): Country: UNITED STATES all of the private fund's assets? through (e) below for each prime broker the private funduestions (b) through (e) separately for each prime broker gistration number:	⊙ # uses. If the <i>private fund</i>
2) If the prime broker is r 8 - 8177 CRD Number (if any): 7059 I) Location of prime broker City: NEW YORK 2) Does this prime broker the answer to 24(a) is ") ses more than one prime D) Name of the prime broker CREDIT SUISSE SECUR 2) If the prime broker is r CRD Number (if any):	egistered with the SEC, its reservise office used principally by the State: New York act as custodian for some or yes," respond to questions (b) broker, you must complete questions (c) broker, you must c)	the private fund (city, state and country): Country: UNITED STATES all of the private fund's assets? through (e) below for each prime broker the private funduestions (b) through (e) separately for each prime broker	uses. If the <i>private fund</i>
CITIGROUP GLOBAL MA) If the prime broker is r 8 - 8177 CRD Number (if any): 7059 () Location of prime broker City: NEW YORK 2) Does this prime broker the answer to 24(a) is "y ses more than one prime (i) Name of the prime broker (ii) CREDIT SUISSE SECUR (ii) If the prime broker is r CRD Number (if any): (iii) Location of prime broker City: LONDON	egistered with the SEC, its reser's office used principally by the State: New York act as custodian for some or yes," respond to questions (b) broker, you must complete questions (b) broker, you must complete questions (b) broker, you for the SEC, its reser's office used principally by the State:	the private fund (city, state and country): Country: UNITED STATES all of the private fund's assets? I through (e) below for each prime broker the private funduestions (b) through (e) separately for each prime broker gistration number: the private fund (city, state and country): Country:	uses. If the <i>private fund</i>

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 47 of 80

(b)	Name of the prime broker: CREDIT SUISSE SECURITIES (USA) LLC		
(c)	If the prime broker is register 8 - 422	ed with the SEC, its registration	number:	
	CRD Number (if any): 816			
(d)	Location of prime broker's offi	ce used principally by the <i>privat</i>	e fund (city, state and country):	
	City: NEW YORK	State: New York	Country: UNITED STATES	
(e)	Does this prime broker act as	custodian for some or all of the	private fund's assets?	Yes ⊙
use			(e) below for each prime broker the <i>private fun</i> b) through (e) separately for each prime broke	·
(2)	DEUTSCHE BANK SECURITIES	INC.		
(c)	If the prime broker is register 8 - 17822	ed with the SEC, its registration	number:	
	CRD Number (if any): 2525			
(d)	Location of prime broker's offi	ce used principally by the privat	e fund (city, state and country):	
(d)	City:	ce used principally by the <i>privat</i> State:	Country:	
(d)				Yes
	City: NEW YORK	State:	Country: UNITED STATES	Yes ⊙
	City: NEW YORK	State: New York	Country: UNITED STATES	
(e) If t	City: NEW YORK Does this prime broker act as the answer to 24(a) is "yes," re	State: New York custodian for some or all of the	Country: UNITED STATES	o d uses. If the <i>private fund</i>
(e) If t	City: NEW YORK Does this prime broker act as the answer to 24(a) is "yes," re	State: New York custodian for some or all of the	Country: UNITED STATES private fund's assets? (e) below for each prime broker the private fund	o d uses. If the <i>private fund</i>
(e) If the second (b)	City: NEW YORK Does this prime broker act as the answer to 24(a) is "yes," resist more than one prime broker. Name of the prime broker: GOLDMAN, SACHS & CO. If the prime broker is register 8 - 129	State: New York custodian for some or all of the	Country: UNITED STATES private fund's assets? (e) below for each prime broker the private fund b) through (e) separately for each prime broke	o d uses. If the <i>private fund</i>
(e) If ti use (b)	City: NEW YORK Does this prime broker act as the answer to 24(a) is "yes," re as more than one prime broker; Name of the prime broker: GOLDMAN, SACHS & CO. If the prime broker is register	State: New York custodian for some or all of the espond to questions (b) through you must complete questions	Country: UNITED STATES private fund's assets? (e) below for each prime broker the private fund b) through (e) separately for each prime broke	o d uses. If the <i>private fund</i>
(e) If the second of the seco	City: NEW YORK Does this prime broker act as the answer to 24(a) is "yes," res more than one prime broker: SOLDMAN, SACHS & CO. If the prime broker is register 8 - 129 CRD Number (if any): 361 Location of prime broker's office.	State: New York custodian for some or all of the espond to questions (b) through you must complete questions end with the SEC, its registration ce used principally by the private	Country: UNITED STATES private fund's assets? (e) below for each prime broker the private fund b) through (e) separately for each prime broke number:	o d uses. If the <i>private fund</i>
(e) If the second of the seco	City: NEW YORK Does this prime broker act as the answer to 24(a) is "yes," res more than one prime broker. Name of the prime broker: GOLDMAN, SACHS & CO. If the prime broker is register 8 - 129 CRD Number (if any): 361	State: New York custodian for some or all of the espond to questions (b) through you must complete questions are determined with the SEC, its registration	Country: UNITED STATES private fund's assets? (e) below for each prime broker the private fund b) through (e) separately for each prime broke number:	d uses. If the <i>private fund</i> r.
(e) If the content of the content o	City: NEW YORK Does this prime broker act as the answer to 24(a) is "yes," res more than one prime broker: GOLDMAN, SACHS & CO. If the prime broker is register 8 - 129 CRD Number (if any): 361 Location of prime broker's officity: NEW YORK	State: New York custodian for some or all of the espond to questions (b) through you must complete questions are with the SEC, its registration ce used principally by the private State:	Country: UNITED STATES private fund's assets? (e) below for each prime broker the private fund b) through (e) separately for each prime broke number: e fund (city, state and country): Country: UNITED STATES	o d uses. If the <i>private fund</i>
(e) If ti use (b)	City: NEW YORK Does this prime broker act as the answer to 24(a) is "yes," res more than one prime broker: GOLDMAN, SACHS & CO. If the prime broker is register 8 - 129 CRD Number (if any): 361 Location of prime broker's officity: NEW YORK	State: New York custodian for some or all of the espond to questions (b) through you must complete questions end with the SEC, its registration ce used principally by the private State: New York	Country: UNITED STATES private fund's assets? (e) below for each prime broker the private fund b) through (e) separately for each prime broke number: e fund (city, state and country): Country: UNITED STATES	d uses. If the private fund r.
(e) If the content of the content o	City: NEW YORK Does this prime broker act as the answer to 24(a) is "yes," res more than one prime broker: GOLDMAN, SACHS & CO. If the prime broker is register 8 - 129 CRD Number (if any): 361 Location of prime broker's officity: NEW YORK	State: New York custodian for some or all of the espond to questions (b) through you must complete questions end with the SEC, its registration ce used principally by the private State: New York	Country: UNITED STATES private fund's assets? (e) below for each prime broker the private fund b) through (e) separately for each prime broke number: e fund (city, state and country): Country: UNITED STATES	d uses. If the <i>private fu</i> r.

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 48 of 80

C	3 - 35008	
	CRD Number (if any):	
7	79	
i) L	ocation of prime broker's office used principally	by the private fund (city, state and country):
-	City: State:	Country:
	NEW YORK New York	·
		Yes
:) C	Does this prime broker act as custodian for som	e or all of the <i>private fund</i> 's assets?
		s (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>private fun</i> te questions (b) through (e) separately for each prime broker.
-	Name of the prime broker: IEFFERIES LLC	
	if the prime broker is registered with the SEC, it	es registration number:
	3 - 15074	
	CRD Number (if any): 2347	
_		
) L	ocation of prime broker's office used principally	by the <i>private fund</i> (city, state and country):
C	City: State:	Country:
Ν	NEW YORK New York	
		Yes
) L	Does this prime broker act as custodian for som	e or all of the <i>private fund</i> 's assets?
		s (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>private fun</i> te questions (b) through (e) separately for each prime broker.
ses o) N	more than one prime broker, you must comple Name of the prime broker:	
ses o) N	more than one prime broker, you must comple Name of the prime broker: MERRILL LYNCH INTERNATIONAL LIMITED	te questions (b) through (e) separately for each prime broker.
ses o) N	more than one prime broker, you must comple Name of the prime broker:	te questions (b) through (e) separately for each prime broker.
ses b) N N T :) I	more than one prime broker, you must comple Name of the prime broker: MERRILL LYNCH INTERNATIONAL LIMITED	te questions (b) through (e) separately for each prime broker.
ses)) N N C	more than one prime broker, you must comple Name of the prime broker: MERRILL LYNCH INTERNATIONAL LIMITED If the prime broker is registered with the SEC, it CRD Number (if any): Location of prime broker's office used principally	te questions (b) through (e) separately for each prime broker. Its registration number: by the <i>private fund</i> (city, state and country):
ses)) N M C () L () C	more than one prime broker, you must comple Name of the prime broker: MERRILL LYNCH INTERNATIONAL LIMITED If the prime broker is registered with the SEC, it CRD Number (if any):	te questions (b) through (e) separately for each prime broker. Es registration number:
ses)) N M C C	more than one prime broker, you must comple Name of the prime broker: MERRILL LYNCH INTERNATIONAL LIMITED If the prime broker is registered with the SEC, it CRD Number (if any): Location of prime broker's office used principally City: State:	te questions (b) through (e) separately for each prime broker. Its registration number: by the <i>private fund</i> (city, state and country): Country:
oses No N	more than one prime broker, you must comple Name of the prime broker: MERRILL LYNCH INTERNATIONAL LIMITED If the prime broker is registered with the SEC, it CRD Number (if any): Location of prime broker's office used principally City: State:	te questions (b) through (e) separately for each prime broker. Its registration number: by the private fund (city, state and country): Country: UNITED KINGDOM
ses) N M C C L	More than one prime broker, you must comple Name of the prime broker: MERRILL LYNCH INTERNATIONAL LIMITED If the prime broker is registered with the SEC, it CRD Number (if any): Location of prime broker's office used principally City: State: LONDON	te questions (b) through (e) separately for each prime broker. Is registration number: by the private fund (city, state and country): Country: UNITED KINGDOM Yes
oses) N M C C the	more than one prime broker, you must comple Name of the prime broker: MERRILL LYNCH INTERNATIONAL LIMITED If the prime broker is registered with the SEC, it CRD Number (if any): Location of prime broker's office used principally City: State: LONDON Does this prime broker act as custodian for som	te questions (b) through (e) separately for each prime broker. Is registration number: by the private fund (city, state and country): Country: UNITED KINGDOM Yes
theses	more than one prime broker, you must comple Name of the prime broker: MERRILL LYNCH INTERNATIONAL LIMITED If the prime broker is registered with the SEC, it CRD Number (if any): Location of prime broker's office used principally City: State: LONDON Does this prime broker act as custodian for som	te questions (b) through (e) separately for each prime broker. Its registration number: by the private fund (city, state and country): Country: UNITED KINGDOM Yes e or all of the private fund's assets? (c) It is (b) through (e) below for each prime broker the private fund uses. If the private fund te questions (b) through (e) separately for each prime broker.
Sesson No. 11 (1) (1) (1) (1) (1) (1) (1) (1) (1)	Mame of the prime broker: MERRILL LYNCH INTERNATIONAL LIMITED If the prime broker is registered with the SEC, it CRD Number (if any): Location of prime broker's office used principally City: State: LONDON Does this prime broker act as custodian for som e answer to 24(a) is "yes," respond to question more than one prime broker, you must comple	te questions (b) through (e) separately for each prime broker. Its registration number: by the private fund (city, state and country): Country: UNITED KINGDOM Yes e or all of the private fund's assets? (c) It (b) through (e) below for each prime broker the private fund uses. If the private fund the questions (b) through (e) separately for each prime broker.
ses O) N N C C C C C C C C C C C C	more than one prime broker, you must comple Name of the prime broker: MERRILL LYNCH INTERNATIONAL LIMITED If the prime broker is registered with the SEC, it CRD Number (if any): Location of prime broker's office used principally City: State: LONDON Does this prime broker act as custodian for som e answer to 24(a) is "yes," respond to question more than one prime broker, you must comple Name of the prime broker: MERRILL LYNCH, PIERCE, FENNER & SMITH INCO If the prime broker is registered with the SEC, it 3 - 7221 CRD Number (if any):	te questions (b) through (e) separately for each prime broker. Its registration number: by the private fund (city, state and country): Country: UNITED KINGDOM Yes e or all of the private fund's assets? (c) It (b) through (e) below for each prime broker the private fund uses. If the private fund the questions (b) through (e) separately for each prime broker.
ses O) N N C C C C C C C C C C C C	more than one prime broker, you must comple Name of the prime broker: MERRILL LYNCH INTERNATIONAL LIMITED If the prime broker is registered with the SEC, it CRD Number (if any): Location of prime broker's office used principally City: State: LONDON Does this prime broker act as custodian for som e answer to 24(a) is "yes," respond to question more than one prime broker, you must comple Name of the prime broker: MERRILL LYNCH, PIERCE, FENNER & SMITH INCO if the prime broker is registered with the SEC, it 3 - 7221	te questions (b) through (e) separately for each prime broker. Its registration number: by the private fund (city, state and country): Country: UNITED KINGDOM Yes e or all of the private fund's assets? (c) It (b) through (e) below for each prime broker the private fund uses. If the private fund the questions (b) through (e) separately for each prime broker.

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 49 of 80

e) Does this prime broker act as custodian for some or all of the private fund's assets? © If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. D) Name of the prime broker: MORGAN STANLEY & CO INTERNATIONAL PLC C) If the prime broker is registered with the SEC, its registration number: - CRD Number (if any): d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: LONDON Ves E) Does this prime broker act as custodian for some or all of the private fund's assets? © If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund ses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. D) Name of the prime broker: MORGAN STANLEY & CO. LLC C) If the prime broker is registered with the SEC, its registration number: 8 - 15869 CRD Number (if any): 8209 d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: NEW YORK New York UNITED STATES	City: NEW YORK	State: New York	Country: UNITED STATES	
f the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker: MORGAN STANLEY & CO INTERNATIONAL PLC If the prime broker is registered with the SEC, its registration number: CRD Number (if any): CICH; State: Country: UNITED KINGOOM Yes The answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. If the prime broker is registered with the SEC, its registration number: (If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. MORGAN STANLEY & CO. LLC If the prime broker is registered with the SEC, its registration number: 8 - 15690 CRD Number (if any): 8209 d) Location of prime broker is registered with the SEC, its registration number: NEW YORK New York UNITED STATES Yes The answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses this prime broker is registered with the SEC, its registration number: Obost his prime broker is registered with the SEC, its registration number: If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses this prime broker is registered with the SEC, its registration number: If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses the private fund uses the private fund uses the private fund uses the private fund uses. If the private fund uses the private fund (city, state and country): City: Obost his prime broker is register	a) Does this prime broke	r act as custodian for some or all (of the private fund's assets?	Yes
ses more than one prime broker; you must complete questions (b) through (c) separately for each prime broker. b) Name of the prime broker: MCRAM STANLEY & CO. INTERNATIONAL PLC c) If the prime broker is registered with the SEC, its registration number: - CRD Number (if any): d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: LONDON UNITED KINGDOM Yes Does this prime broker act as custodian for some or all of the private fund's assets? (c) (c) (c) (c) (d) (c) (d) (e) (e) Does this prime broker act as custodian for some or all of the private fund's assets? (e) (f) (f) (e) (f) (e) (f) (e) (f) (e) (e	e) Does this prime broke	act as custodian for some or an e	in the private rand 3 dissets:	
MORGAN STANLEY & CO INTERNATIONAL PLC 2) If the prime broker is registered with the SEC, its registration number:	ses more than one prime	broker, you must complete questi		uses. If the <i>private fun</i>
CRD Number (if any): 1) Location of prime broker's office used principally by the private fund (city, state and country): (City: State: Country: LONDON Yes 1) Does this prime broker act as custodian for some or all of the private fund's assets? (a) 1 the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund ses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. 2) Name of the prime broker: MORGAN STANLEY & CO. LLC 2) If the prime broker is registered with the SEC, its registration number: 3 - 15869 CRD Number (if any): 209 3) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: NEW YORK New York UNITED STATES Yes 4) Does this prime broker act as custodian for some or all of the private fund's assets? (c) If the prime broker the private fund uses. If the private fund uses. If the private fund uses. If the private fund uses where fund uses are fund uses. If the private fund uses where fund uses are fund uses. If the private fund uses where fund uses are fund uses. If the private fund uses where fund uses are fund uses. If the private fund uses where fund uses are fund uses. If the private fund uses where fund uses are fund uses. If the private fund uses where fund uses are fund uses. If the private fund uses where fund uses are fund uses. If the private fund uses are fund uses are fund uses. If the private fund uses are fund uses are fund uses. If the private fund				
d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country: LONDON UNITED KINGDOM Yes Does this prime broker act as custodian for some or all of the <i>private fund</i> 's assets? (c) If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> ses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Name of the prime broker: MORGAN STANLEY & CO. LLC If the prime broker is registered with the SEC, its registration number: 8 - 15869 CDD Number (if any): 82.09 Does this prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country: NEW YORK New York UNITED STATES Yes Does this prime broker act as custodian for some or all of the <i>private fund</i> 's assets? (c) If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> ses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. NOMURA SECURITIES INTERNATIONAL, INC. If the prime broker is registered with the SEC, its registration number: 8 - 15255 CRD Number (if any): 4297 (b) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): CICI: State: Country: NEW YORK New York UNITED STATES Yes COUNTRY: NEW YORK New York UNITED STATES	c) If the prime broker is	registered with the SEC, its registr	ration number:	
City: State: Country: UNITED KINGDOM Yes e) Does this prime broker act as custodian for some or all of the private fund's assets? (c) If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses are country: MORGAN STANLEY & CO. LLC (c) If the prime broker is registered with the SEC, its registration number: 8 - 15869 CRD Number (if any): 8209 (d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: NEW YORK New York UNITED STATES Yes e) Does this prime broker act as custodian for some or all of the private fund's assets? (c) If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. NOMURA SECURITIES INTERNATIONAL, INC. (c) If the prime broker is registered with the SEC, its registration number: 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: NEW YORK New York UNITED STATES	CRD Number (if any):			
LONDON UNITED KINGDOM Yes 2) Does this prime broker act as custodian for some or all of the private fund's assets? © The answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. 2) Name of the prime broker: MORGAN STANLEY & CO. LLC C) If the prime broker is registered with the SEC, its registration number: 8 - 15869 CRD Number (if any): 2009 3) Location of prime broker's office used principally by the private fund (city, state and country): City: NEW YORK New York UNITED STATES Yes The answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses meet than one prime broker, you must complete questions (b) through (e) separately for each prime broker. NAME of the prime broker: NOMURA SECURITIES INTERNATIONAL, INC. 2) If the prime broker is registered with the SEC, its registration number: 8 - 15255 CRD Number (if any): 4297 2) Location of prime broker's office used principally by the private fund (city, state and country): CICI: State: Country: NOMURA SECURITIES INTERNATIONAL, INC. 2) If the prime broker is registered with the SEC, its registration number: 8 - 15255 CRD Number (if any): 4297 3) Location of prime broker's office used principally by the private fund (city, state and country): CICI: NEW YORK NEW YORK UNITED STATES Yes Yes Yes Yes Yes Yes Yes Ye				
be Does this prime broker act as custodian for some or all of the private fund's assets? (c) If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. D) Name of the prime broker: MORGAN STANLEY & CO. LLC C) If the prime broker is registered with the SEC, its registration number: 8 - 15869 CRD Number (if any): 8209 d) Location of prime broker's office used principally by the private fund (city, state and country): City: NEW YORK New York UNITED STATES Yes Posses more than one prime broker, you must complete questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses seem for then one prime broker, you must complete questions (b) through (e) separately for each prime broker. NOMURA SECURITIES INTERNATIONAL, INC. C) If the prime broker is registered with the SEC, its registration number: 8 - 15255 CRD Number (if any): 4297 d) Location of prime broker's office used principally by the private fund (city, state and country): City: NEW YORK New York UNITED STATES Yes Yes Yes Yes Yes Yes Yes Ye	· ·	State:		Voc
ses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. 2) Name of the prime broker: MORGAN STANLEY & CO. LLC 2) If the prime broker is registered with the SEC, its registration number: 8 - 15869 CRD Number (if any): 8209 3) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: NEW YORK New York UNITED STATES Yes 2) Does this prime broker act as custodian for some or all of the private fund's assets? (c) 1 the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. 2) Name of the prime broker: NOMURA SECURITIES INTERNATIONAL, INC. 3) If the prime broker is registered with the SEC, its registration number: 8 - 15255 CRD Number (if any): 4297 4) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: NEW YORK New York UNITED STATES Yes	e) Does this prime broke	r act as custodian for some or all c	of the <i>private fund</i> 's assets?	
ses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. 3) Name of the prime broker: MORGAN STANLEY & CO. LLC 3) If the prime broker is registered with the SEC, its registration number: 8 - 15869 CRD Number (if any): 8209 4) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: NEW YORK New York UNITED STATES Yes 2) Does this prime broker act as custodian for some or all of the private fund's assets? (c) City: The answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. NOMURA SECURITIES INTERNATIONAL, INC. (c) If the prime broker is registered with the SEC, its registration number: 8 - 15255 CRD Number (if any): 4297 (d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: NEW YORK New York UNITED STATES Yes				
City: New YORK New York UNITED STATES Yes Does this prime broker act as custodian for some or all of the private fund's assets? The answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. NAME of the prime broker: NOMURA SECURITIES INTERNATIONAL, INC. If the prime broker is registered with the SEC, its registration number: 8 - 15255 CRD Number (if any): 4297 Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: NEW YORK New York UNITED STATES) Name of the prime bro			
NEW YORK New York UNITED STATES Yes Does this prime broker act as custodian for some or all of the private fund's assets? The answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. NOMURA SECURITIES INTERNATIONAL, INC. If the prime broker is registered with the SEC, its registration number: 8 - 15255 CRD Number (if any): 4297 Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: NEW YORK New York UNITED STATES Yes	n) Name of the prime brown MORGAN STANLEY & Co. If the prime broker is 8 - 15869 CRD Number (if any):	O. LLC	ration number:	
Does this prime broker act as custodian for some or all of the <i>private fund</i> 's assets? The answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Nomura of the prime broker: Nomura SECURITIES INTERNATIONAL, INC. If the prime broker is registered with the SEC, its registration number: 8 - 15255 CRD Number (if any): 4297 I) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country: NEW YORK New York UNITED STATES	D) Name of the prime brown MORGAN STANLEY & Co. If the prime broker is 8 - 15869 CRD Number (if any): 8209 d) Location of prime broken	registered with the SEC, its registr	orivate fund (city, state and country):	
Ses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. D) Name of the prime broker: NOMURA SECURITIES INTERNATIONAL, INC. C) If the prime broker is registered with the SEC, its registration number: 8 - 15255 CRD Number (if any): 4297 d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: NEW YORK New York UNITED STATES	D) Name of the prime brown MORGAN STANLEY & Co. If the prime broker is 8 - 15869 CRD Number (if any): 8209 d) Location of prime brown City:	registered with the SEC, its registred to the second secon	orivate fund (city, state and country): Country:	
NOMURA SECURITIES INTERNATIONAL, INC. 2) If the prime broker is registered with the SEC, its registration number: 8 - 15255 CRD Number (if any): 4297 3) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: NEW YORK New York UNITED STATES	D) Name of the prime brown MORGAN STANLEY & Co. If the prime broker is 8 - 15869 CRD Number (if any): 8209 d) Location of prime brown City: NEW YORK	registered with the SEC, its registred ser's office used principally by the particles of the ser's New York	orivate fund (city, state and country): Country: UNITED STATES	
8 - 15255 CRD Number (if any): 4297 d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country: NEW YORK New York UNITED STATES	D) Name of the prime broker MORGAN STANLEY & C E) If the prime broker is 8 - 15869 CRD Number (if any): 8209 E) Location of prime broke City: NEW YORK E) Does this prime broke	registered with the SEC, its registres registered with the SEC, its registres registered with the SEC, its registres received with the SEC, its registres registres registres with the SEC, its registres regi	orivate fund (city, state and country): Country: UNITED STATES of the private fund's assets? ough (e) below for each prime broker the private fund	€
d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country: NEW YORK New York UNITED STATES Yes	D) Name of the prime brown MORGAN STANLEY & Co. If the prime broker is 8 - 15869 CRD Number (if any): 8209 It) Location of prime brown City: NEW YORK Does this prime broke the answer to 24(a) is "sees more than one prime brown one pri	registered with the SEC, its registres registered with the SEC, its registres registres. State: New York r act as custodian for some or all complete questions (b) thresholder, you must complete questions registers.	orivate fund (city, state and country): Country: UNITED STATES of the private fund's assets? ough (e) below for each prime broker the private fund	€
City: State: Country: NEW YORK New York UNITED STATES Yes	D) Name of the prime broker is MORGAN STANLEY & CC. E) If the prime broker is 8 - 15869 CRD Number (if any): 8209 E) Location of prime broke City: NEW YORK E) Does this prime broke E the answer to 24(a) is "ses more than one prime broke NOMURA SECURITIES: CC. E) If the prime broker is	registered with the SEC, its registred registered registere	orivate fund (city, state and country): Country: UNITED STATES of the private fund's assets? ough (e) below for each prime broker the private fund ions (b) through (e) separately for each prime broker.	€
NEW YORK New York UNITED STATES Yes	D) Name of the prime broker is 8 - 15869 CRD Number (if any): 8209 It Location of prime broker City: NEW YORK Does this prime broke the answer to 24(a) is "ses more than one prime NOMURA SECURITIES: COMURA SECURITIES: CRD Number (if any):	registered with the SEC, its registred registered registere	orivate fund (city, state and country): Country: UNITED STATES of the private fund's assets? ough (e) below for each prime broker the private fund ions (b) through (e) separately for each prime broker.	€
	D) Name of the prime broker is 8 - 15869 CRD Number (if any): 8209 d) Location of prime broke City: NEW YORK Does this prime broke The answer to 24(a) is "ses more than one prime broke NOMURA SECURITIES: CPD Number (if any): 4297 d) Location of prime broker is 8 - 15255 CRD Number (if any): 4297	registered with the SEC, its registres office used principally by the particles of the state: New York r act as custodian for some or all control of the broker, you must complete questions (b) thresholder: INTERNATIONAL, INC. registered with the SEC, its registres of the second	Country: UNITED STATES of the private fund's assets? ough (e) below for each prime broker the private fund ions (b) through (e) separately for each prime broker.	€
	b) Name of the prime broker is 8 - 15869 CRD Number (if any): 8209 d) Location of prime broke City: NEW YORK e) Does this prime broke f the answer to 24(a) is "ses more than one prime broke NOMURA SECURITIES: CPD Number (if any): 4297 d) Location of prime broke City:	registered with the SEC, its registres office used principally by the partial State: New York r act as custodian for some or all control of the property of	Country: UNITED STATES of the private fund's assets? ough (e) below for each prime broker the private fund ions (b) through (e) separately for each prime broker.	

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 50 of 80

(e) Does this prime broker act as custodian for some or all of the <i>private fund</i> 's assets? To be the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets? If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. Additional Custodian Information: 22 Record(s) Filed. If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (c) Primary business name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund</i> 's assets (city, state and country): Chy. Chy.					
B - 17574 CRO Number (if any): 7560 (d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country: JERSEY CITY New Jersey UNITED STATES Yes (e) Does this prime broker act as custodian for some or all of the <i>private fund</i> 's assets? If the answer to 24(s) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses more than one prime broker: USS SECURITES LLC (c) If the prime broker is registered with the SEC, its registration number: 8 - 22651 CRO Number (if any): 7654 (d) Location of prime broker's office used principally by the <i>private fund</i> (city, state and country): City: State: Country: NEW YORK New York UNITED STATES Yes (e) Does this prime broker act as custodian for some or all of the <i>private fund</i> 's assets? (e) Does this prime broker act as custodian for some or all of the <i>private fund</i> 's assets? (f) If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> usemore than one custodian, you must complete questions (b) through (f) separately for each custodian the <i>private fund</i> uses. If the <i>private fund</i> usemore than one custodian, you must complete questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> usemore than one custodian, you must complete questions (b) through (f) separately for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses. BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund</i> 's assets (city, state and country): LONDON UNITED KINGDOM Yes					
CRD Number (if any): 7560 (d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: JERSEY CITY New Jersey UNITED STATES Yes (e) Does this prime broker act as custodian for some or all of the private fund's assets? (f) Does this prime broker act as custodian for some or all of the private fund's assets? (g) If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker; UBS SECURITIES LIC (c) If the prime broker is registered with the SEC, its registration number: 8 - 22551 CRD Number (if any): 7654 (d) Location of prime broker's office used principally by the private fund (city, state and country): City: NEW YORK New York UNITED STATES Yes (e) Does this prime broker act as custodian for some or all of the private fund's assets? (g) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets? (g) Additional Custodian Information: 22 Record(s) Filed. If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. Additional Custodian Information: 22 Record(s) Filed. If the answer to 25(a) is "yes," respond to questions (b) through (f) separately for each custodian. BARCLAYS CAPITAL SECURITES LIMITED (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): LONDON Ves	(c)	If the prime broker is regis	stered with the SEC, its registration	on number:	
(d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: JERSEY CITY New Jersey UNITED STATES Yes (e) Does this prime broker act as custodian for some or all of the private fund's assets? (f) The answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker; UBS SECURITIES LLC (c) If the prime broker is registered with the SEC, its registration number: 8 - 72651 CRD Number (if any): 7654 (d) Location of prime broker's office used principally by the private fund (city, state and country): City: NEW YORK New York UNITED STATES Yes (c) Does this prime broker act as custodian for some or all of the private fund's assets? (e) Does this prime broker act as custodian for some or all of the private fund's assets? (f) If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund use more than one custodian, you must complete questions (b) through (f) below for each custodian the private fund uses. If the private fund use more than one custodian, you must complete questions (b) through (f) below for each custodian the private fund uses. If the private fund use more than one custodian, you must complete questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian the private fund uses. If the private fund uses aparticles for each custodian, you must complete questions (b) through (f) below for each custodian the private fund uses. If the private fund uses aparticles for each custodian. BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): LONDON UNITED KINGOOM Yes		8 - 17574			
(cl): State: New Jersey UNITED STATES Yes (e) Does this prime broker act as custodian for some or all of the private fund's assets? (c) If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: UBS SECURITIES LLC (c) If the prime broker is registered with the SEC, its registration number: 8 - 22651 CRD Number (if any): 7654 (d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: NEW YORK New York UNITED STATES Yes (e) Does this prime broker act as custodian for some or all of the private fund's assets? (f) He answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) below for each custodian the private fund uses. If the private fund use more than one custodian, you must complete questions (b) through (f) below for each custodian the private fund uses. If the private fund use more than one custodian, you must complete questions (b) through (f) below for each custodian the private fund uses. If the private fund use more than one custodian, you must complete questions (b) through (f) below for each custodian the private fund uses. If the private fund use more than one custodian, you must complete questions (b) through (f) below for each custodian the private fund uses. If the private fund use more than one custodian, you must complete questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) below for each custodian the					
JERSEY CITY New Jersey UNITED STATES Yes (e) Does this prime broker act as custodian for some or all of the private fund's assets? (f) If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: UBS SECURITIES LLC (c) If the prime broker is registered with the SEC, its registration number: 8 - 22651 CRD Number (if any): 7654 (d) Location of prime broker's office used principally by the private fund (city, state and country): City: New York UNITED STATES Yes (e) Does this prime broker act as custodian for some or all of the private fund's assets? (f) Location of prime broker act as custodian for some or all of the private fund's assets? (g) The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. Additional Custodian: BARCLAYS CAPITAL SECURITIES LIMITED (c) Primary business name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's effice responsible for custody of the private fund's assets (city, state and country): CUSTON UNITED KINGDOM Yes	(d)	Location of prime broker's	office used principally by the <i>priv</i> o	ate fund (city, state and country):	
(e) Does this prime broker act as custodian for some or all of the private fund's assets? (g) If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: UBS SECURITIES LLC (c) If the prime broker is registered with the SEC, its registration number: 8 - 22551 CRD Number (if any): 7654 (d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: NEW YORK New York UNITED STATES Yes (e) Does this prime broker act as custodian for some or all of the private fund's assets? (g) If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. Additional Custodian; punctual complete questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. BARCLAYS CAPITAL SECURITIES LIMITED (c) Primary business name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): UNITED KINSDOM Yes		-	State:	•	
(e) Does this prime broker act as custodian for some or all of the private fund's assets? (g) If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: UBS SECURITIES LLC (c) If the prime broker is registered with the SEC, its registration number: 8 - 22651 CRD Number (if any): 7654 (d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: New York UNITED STATES Yes (e) Does this prime broker act as custodian for some or all of the private fund's assets? (f) If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses nor custodian, you must complete questions (b) through (f) separately for each custodian. Additional Custodian: BARCLAYS CAPITAL SECURITIES LIMITED (c) Primary business name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): CUSTON UNITED KINGDOM Yes		JERSEY CITY	New Jersey	UNITED STATES	
If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: UBS SECURITIES LLC (c) If the prime broker is registered with the SEC, its registration number: 8 - 22651 CRD Number (if any): 7654 (d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: NEW YORK New York UNITED STATES Yes (e) Does this prime broker act as custodian for some or all of the private fund's assets? (c) If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. Additional Custodian Information: 22 Record(s) Filed. If the answer to 25(a) is "yes," respond to questions (b) through (f) separately for each custodian. Additional Custodian Information: 22 Record(s) Filed. If the answer to 25(a) is "yes," respond to questions (b) through (f) separately for each custodian. (b) Legal name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (c) Primary business name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): UNITED KINGDOM Yes	(2)	Door this prime business	an averagion for some or all of th	ha militata filmdla pasaha?	
uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: UBS SECURITIES LLC (c) If the prime broker is registered with the SEC, its registration number: 8 - 22651 CRD Number (if any): 7654 (d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: NEW YORK New York UNITED STATES Yes (e) Does this prime broker act as custodian for some or all of the private fund's assets? (f) If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets? (g) If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian the private fund uses. If the private fund use more than one custodian, you must complete questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian the private fund uses. If the private fund uses more than one custodian than private fund uses and the private fund uses and the private fund uses. If the	(6)	Does this prime broker act	as custourant for some of all of the	ne private ruriu s assets:	
8 - 22651 CRD Number (if any): 7654 (d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: NEW YORK New York UNITED STATES Yes (e) Does this prime broker act as custodian for some or all of the private fund's assets? (e) Does this prime broker act as custodian for some or all of the private fund's assets? (f) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets? (g) The samewr to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. Additional Custodian Information: 22 Record(s) Filed. If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund use more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (c) Primary business name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): Ling Country Country Country final custody of the private fund's assets (city, state and country): Ling Country Country Final Country final custody of the private fund's assets (city, state and country):	uses (b)	s more than one prime broker:	ker, you must complete question		If the <i>private fund</i>
8 - 22651 CRD Number (if any): 7654 (d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: NEW YORK New York UNITED STATES Yes (e) Does this prime broker act as custodian for some or all of the private fund's assets? (e) Does this prime broker act as custodian for some or all of the private fund's assets? (f) If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. Additional Custodian Information: 22 Record(s) Filed. If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund use more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (c) Primary business name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): COUNTRY LONDON UNITED KINGDOM Yes					
CRD Number (if any): 7654 (d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: NEW YORK New York UNITED STATES Yes (e) Does this prime broker act as custodian for some or all of the private fund's assets? © Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets? If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. Additional Custodian Information: 22 Record(s) Filed. If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (c) Primary business name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): OUNITED KINGDOM Yes		·	stered with the SEC, its registration	on number:	
(d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: NEW YORK New York UNITED STATES Yes (e) Does this prime broker act as custodian for some or all of the private fund's assets? Ce The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian. Additional Custodian Information: 22 Record(s) Filed. If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) below for each custodian. Additional Custodian Information: 22 Record(s) Filed. If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian the private fund uses. If the private fund use more than one custodian; but the private fund uses in the private fund uses. If the private fund uses in the private fund uses in the private fund uses. If the private fund uses in the private fund uses in the private fund uses. If the private fund uses in the private fund uses in the private fund uses. If the private fund uses in the private fund uses in the private fund uses. If the private fund uses in the private fund uses in the private fund uses. If the private fund uses in the private fund uses in the private fund uses in the private fund uses. If the private fund uses in the private fund use					
City: State: Country: UNITED STATES Yes (e) Does this prime broker act as custodian for some or all of the private fund's assets? (e) Does this prime broker act as custodian for some or all of the private fund's assets? (e) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets? (g) If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. Additional Custodian Information: 22 Record(s) Filed. If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund use more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (c) Primary business name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): CITY, COUNTY: LONDON Ves					
City: State: Country: UNITED STATES Yes (e) Does this prime broker act as custodian for some or all of the private fund's assets? (e) Does this prime broker act as custodian for some or all of the private fund's assets? Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets? If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. Additional Custodian Information: 22 Record(s) Filed. If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund use more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (c) Primary business name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): CITY, LONDON UNITED KINGDOM Yes					
NEW YORK New York UNITED STATES Yes (e) Does this prime broker act as custodian for some or all of the private fund's assets? One of the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets? If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. Additional Custodian Information: 22 Record(s) Filed. If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (c) Primary business name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): Online UNITED KINGDOM Yes	(d)	Location of prime broker's	office used principally by the prive	ate fund (city, state and country):	
(e) Does this prime broker act as custodian for some or all of the private fund's assets? (c) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets? If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. Additional Custodian Information: 22 Record(s) Filed. If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (c) Primary business name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): COUNTY, LONDON Ves		City:	State:	Country:	
(e) Does this prime broker act as custodian for some or all of the private fund's assets? (b) Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets? If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. Additional Custodian Information: 22 Record(s) Filed. If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund use more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (c) Primary business name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): Country: LONDON Ves		NEW YORK	NI MI-	•	
Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets? If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. Additional Custodian Information: 22 Record(s) Filed. If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund use more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (c) Primary business name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): Cuty. Country. LONDON Ves		NEW YORK	New York	•	Yes
Does the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets? If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. Additional Custodian Information: 22 Record(s) Filed. If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (c) Primary business name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund</i> 's assets (city, state and country): CLY, COUNTY, UNITED KINGDOM Yes				UNITED STATES	
Does the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets? If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. Additional Custodian Information: 22 Record(s) Filed. If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (c) Primary business name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund</i> 's assets (city, state and country): CICY. COUNTY. UNITED KINGDOM Yes				UNITED STATES	
If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. Additional Custodian Information: 22 Record(s) Filed. If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> use more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (c) Primary business name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund</i> 's assets (city, state and country): CITY. UNITED KINGDOM Yes	(e)			UNITED STATES	•
more than one custodian, you must complete questions (b) through (f) separately for each custodian. Additional Custodian Information: 22 Record(s) Filed. If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund use more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (c) Primary business name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): CITY. COUNTY: UNITED KINGDOM Yes	(e)	Does this prime broker act	as custodian for some or all of th	UNITED STATES he <i>private fund</i> 's assets?	⊙ Ye
If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (c) Primary business name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for <i>custody</i> of the <i>private fund</i> 's assets (city, state and country): LONDON UNITED KINGDOM Yes	(e)	Does this prime broker act	as custodian for some or all of the	UNITED STATES the private fund's assets? skers listed above) to hold some or all of its assets?	• Ye
more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (c) Primary business name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): Country. LONDON Ves (c) Is the custodian a related passes of your firm?	(e)	Does this prime broker act the <i>private fund</i> use any cue answer to 25(a) is "yes," r	as custodian for some or all of the stodians (including the prime browspond to questions (b) through	UNITED STATES the private fund's assets? skers listed above) to hold some or all of its assets? (f) below for each custodian the private fund uses. If the	• Ye
(b) Legal name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (c) Primary business name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City. LONDON UNITED KINGDOM Yes	(e)	Does this prime broker act the <i>private fund</i> use any cus answer to 25(a) is "yes," r than one custodian, you me	as custodian for some or all of the stodians (including the prime browspond to questions (b) through ust complete questions (b) through	UNITED STATES the private fund's assets? skers listed above) to hold some or all of its assets? (f) below for each custodian the private fund uses. If the	© Ye
BARCLAYS CAPITAL SECURITIES LIMITED (c) Primary business name of custodian: BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City. LONDON UNITED KINGDOM Yes	(e) Does of the more	Does this prime broker act the <i>private fund</i> use any cust answer to 25(a) is "yes," rethan one custodian, you mustional Custodian Informational Custodian Information Informa	as custodian for some or all of the stodians (including the prime brosespond to questions (b) through ust complete questions (b) throughout complete questions (b) through questions (c) through questions (c) through questions (c) through questions (d) thr	UNITED STATES the <i>private fund</i> 's assets? skers listed above) to hold some or all of its assets? (f) below for each custodian the <i>private fund</i> uses. If the gh (f) separately for each custodian.	Ye e private fund uses
BARCLAYS CAPITAL SECURITIES LIMITED (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City. LONDON UNITED KINGDOM Yes	(e) Does of the more Addit	Does this prime broker act the private fund use any customs answer to 25(a) is "yes," rethan one custodian, you multional Custodian Information to 25(a) is "yes,"	as custodian for some or all of the stodians (including the prime brosespond to questions (b) through ust complete questions (b) through the complete questions (c) through the complete questi	UNITED STATES the private fund's assets? skers listed above) to hold some or all of its assets? (f) below for each custodian the private fund uses. If the gh (f) separately for each custodian.	Ye ⊙ : <i>private fund</i> uses
LONDON UNITED KINGDOM Yes	(e) Does if the more Addit mor	the <i>private fund</i> use any customanswer to 25(a) is "yes," rethan one custodian, you mustomated the answer to 25(a) is "yes," rethan one custodian, you will be answer to 25(a) is "yes," rethan one custodian, you will be answer to 25(a) is "yes," rethan one custodian.	as custodian for some or all of the stodians (including the prime brosespond to questions (b) through ust complete questions (b) through ion: 22 Record(s) Filed. "respond to questions (b) through must complete questions (b) through the stody of the st	UNITED STATES the private fund's assets? skers listed above) to hold some or all of its assets? (f) below for each custodian the private fund uses. If the gh (f) separately for each custodian.	Ye e private fund uses
LONDON UNITED KINGDOM Yes (c) Is the systedian a related person of your firm?	(e) Does - If the more Addit If th' mor	the <i>private fund</i> use any customs and the private fund use any customs answer to 25(a) is "yes," rethan one custodian, you must the answer to 25(a) is "yes," rethan one custodian, you be also be a custodian, you be a custodian. Legal name of custodian: BARCLAYS CAPITAL SECURI	as custodian for some or all of the stodians (including the prime browns by through the complete questions (b) through the complete questions (c) through the complete questions (b) through the complete questions (c) through th	UNITED STATES the private fund's assets? skers listed above) to hold some or all of its assets? (f) below for each custodian the private fund uses. If the gh (f) separately for each custodian.	Ye e private fund uses
(a) Is the custodian a related parson of your firm?	(e) Does of the more Addit If the more (b) (c)	the private fund use any customs and the private fund use any customs and the answer to 25(a) is "yes," rethan one custodian, you must the answer to 25(a) is "yes," rethan one custodian, you be answer to 25(a) is "yes," rethan one custodian, you be answer to 25(a) is "yes," rethan one custodian, you be answer to 25(a) is "yes," rethan one custodian." BARCLAYS CAPITAL SECURION BARCLAYS CAPITAL SECURION The location of the custodian.	as custodian for some or all of the stodians (including the prime brosespond to questions (b) through ust complete questions (b) through ion: 22 Record(s) Filed. Trespond to questions (b) through must complete questions (b) through must complete questions (b) through the complete questions (c) through the complete questions (b) through the complete questions (c)	the private fund's assets? Skers listed above) to hold some or all of its assets? (f) below for each custodian the private fund uses. If the gh (f) separately for each custodian. If the private fund uses if the private fund uses if the pugh (f) separately for each custodian.	Ye e private fund uses
(e) Is the custodian a <i>related person</i> of your firm?	(e) Does fifthe more Addition (b) (c)	the private fund use any cust answer to 25(a) is "yes," re than one custodian, you must the answer to 25(a) is "yes," re than one custodian, you be answer to 25(a) is "yes," re than one custodian, you be answer to 25(a) is "yes," re than one custodian, you be answer to 25(a) is "yes," re than one custodian. BARCLAYS CAPITAL SECURION The location of the custodian.	as custodian for some or all of the stodians (including the prime brosespond to questions (b) through ust complete questions (b) through ion: 22 Record(s) Filed. Trespond to questions (b) through must complete questions (b) through must complete questions (b) through the complete questions (c) through the complete questions (b) through the complete questions (c)	UNITED STATES the private fund's assets? Skers listed above) to hold some or all of its assets? (f) below for each custodian the private fund uses. If the gh (f) separately for each custodian. If the private fund uses if the private fund uses if the bugh (f) separately for each custodian.	Ye e private fund uses
	(e) Does fifthe more Addition (b) (c)	the private fund use any cust answer to 25(a) is "yes," re than one custodian, you must the answer to 25(a) is "yes," re than one custodian, you be answer to 25(a) is "yes," re than one custodian, you be answer to 25(a) is "yes," re than one custodian, you be answer to 25(a) is "yes," re than one custodian. BARCLAYS CAPITAL SECURION The location of the custodian.	as custodian for some or all of the stodians (including the prime brosespond to questions (b) through ust complete questions (b) through ion: 22 Record(s) Filed. Trespond to questions (b) through must complete questions (b) through must complete questions (b) through the complete questions (c) through the complete questions (b) through the complete questions (c)	UNITED STATES the private fund's assets? Skers listed above) to hold some or all of its assets? (f) below for each custodian the private fund uses. If the gh (f) separately for each custodian. If the private fund uses if the private fund uses if the bugh (f) separately for each custodian.	Ye e private fund uses

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 51 of 80

CRD Number (if any): If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: BNP PARIBAS PRIME BROKERAGE, INC. (c) Primary business name of custodian: BNP PARIBAS PRIME BROKERAGE, INC. (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): State: Country: **NEW YORK** UNITED STATES New York Yes No (e) Is the custodian a related person of your firm? ⊚ (f) If the custodian is a broker-dealer, provide its SEC registration number (if any) 8 - 40490 CRD Number (if any): 24962 If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: CITIBANK N.A. (c) Primary business name of custodian: CITIBANK N.A. (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): State: City: Country: **NEW YORK** New York **UNITED STATES** Yes No (e) Is the custodian a related person of your firm? ⊚ (f) If the custodian is a broker-dealer, provide its SEC registration number (if any) CRD Number (if any): If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: CITIGROUP GLOBAL MARKETS INC. (c) Primary business name of custodian: CITIGROUP GLOBAL MARKETS INC. (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): City: State: Country:

UNITED STATES

Yes No

New York

NEW YORK

(e) Is the custodian a related person of your firm?

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 52 of 80

(f) I	f the custodian is a broker			
8	3 - 8177			
	CRD Number (if any):			
7	7059			
			through (f) below for each custodian the <i>private fund</i> uses. If the <i>private</i>	ate fund us
ore	than one custodian, you i	must complete questions (b) through (f) separately for each custodian.	
-	egal name of custodian: CREDIT SUISSE SECURITIE:	S (ELIPOPE) LIMITED		
	SKEDIT SUISSE SECONTILE	3 (LONOFE) EIMITED		
-	Primary business name of C CREDIT SUISSE SECURITIES			
) T	The location of the custodia	an's office responsible for	custody of the private fund's assets (city, state and country):	
C	City:	State:	Country:	
L	LONDON		UNITED KINGDOM	
				Yes
) I	s the custodian a <i>related p</i>	person of your firm?		0
I	f the custodian is a broker	-dealer, provide its SEC re	egistration number (if any)	
-	CRD Number (if any):			
ore	than one custodian, you i		through (f) below for each custodian the <i>private fund</i> uses. If the <i>priva</i> (b) through (f) separately for each custodian.	ate runa us
ore () L () P () T () T	e than one custodian, you in the custodian: CREDIT SUISSE SECURITIES CREDIT SUISSE SECURITIES CREDIT SUISSE SECURITIES The location of the custodia City:	must complete questions (S (USA) LLC custodian: S (USA) LLC an's office responsible for State:	(b) through (f) separately for each custodian. custody of the private fund's assets (city, state and country): Country:	<i>te runa</i> us
ore) L (e than one custodian, you in the custodian: CREDIT SUISSE SECURITIES CREDIT SUISSE SECURITIES CREDIT SUISSE SECURITIES The location of the custodian	must complete questions (S (USA) LLC custodian: S (USA) LLC an's office responsible for	(b) through (f) separately for each custodian. custody of the private fund's assets (city, state and country):	<i>ite runa</i> us
ore () L () () () () () () () () () () () () ()	e than one custodian, you in the custodian: CREDIT SUISSE SECURITIES CREDIT SUISSE SECURITIES The location of the custodian City: NEW YORK	must complete questions (S (USA) LLC custodian: S (USA) LLC an's office responsible for State: New York	(b) through (f) separately for each custodian. custody of the private fund's assets (city, state and country): Country:	
ore () L () () () () () () () () () () () () ()	e than one custodian, you in the custodian: CREDIT SUISSE SECURITIES CREDIT SUISSE SECURITIES CREDIT SUISSE SECURITIES The location of the custodia City:	must complete questions (S (USA) LLC custodian: S (USA) LLC an's office responsible for State: New York	(b) through (f) separately for each custodian. custody of the private fund's assets (city, state and country): Country:	
ore) L C C C N I I I I I I I I I I I I I I I I	e than one custodian, you regal name of custodian: CREDIT SUISSE SECURITIES Primary business name of a CREDIT SUISSE SECURITIES The location of the custodia City: NEW YORK Is the custodian a related p If the custodian is a broken	must complete questions (S (USA) LLC custodian: S (USA) LLC an's office responsible for State: New York person of your firm?	(b) through (f) separately for each custodian. custody of the private fund's assets (city, state and country): Country:	Yes
ore C C C C C C C C N	e than one custodian, you is egal name of custodian: CREDIT SUISSE SECURITIES Primary business name of custodian: CREDIT SUISSE SECURITIES The location of the custodian City: NEW YORK s the custodian a related p	must complete questions (S (USA) LLC custodian: S (USA) LLC an's office responsible for State: New York person of your firm?	custody of the private fund's assets (city, state and country): Country: UNITED STATES	Yes
b) L C C C C C C C C C C C C C C C C C C C	e than one custodian, you regal name of custodian: CREDIT SUISSE SECURITIES Primary business name of a CREDIT SUISSE SECURITIES The location of the custodia City: NEW YORK Is the custodian a related p If the custodian is a broken	must complete questions (S (USA) LLC custodian: S (USA) LLC an's office responsible for State: New York person of your firm?	custody of the private fund's assets (city, state and country): Country: UNITED STATES	Ye
(a) (b) (c) (c) (c) (d) (d) (d) (d) (d) (d) (d) (d) (d) (d	e than one custodian, you is egal name of custodian: CREDIT SUISSE SECURITIES CREDIT SUISSE SECURITIES CREDIT SUISSE SECURITIES CREDIT SUISSE SECURITIES CHE location of the custodian City: NEW YORK So the custodian a related p of the custodian is a broker CRED Number (if any): CRED Number (if any): CRED SUISSE SECURITIES CRED Number (if any): CRED SUISSE SECURITIES CRED SUISSE SUI	must complete questions (S (USA) LLC custodian: S (USA) LLC an's office responsible for State: New York person of your firm? r-dealer, provide its SEC reference of the second to questions (b) must complete questions (complete questions) ES INC. custodian:	custody of the private fund's assets (city, state and country): Country: UNITED STATES	Yes C
the core	e than one custodian, you is segal name of custodian: CREDIT SUISSE SECURITIES of the location of the custodian is the custodian is a broker in the custodian in the custodian in the custodian is a broker in the custodian in the custodia	must complete questions (S (USA) LLC custodian: S (USA) LLC an's office responsible for State: New York person of your firm? r-dealer, provide its SEC reference of the provide its SEC reference	custody of the private fund's assets (city, state and country): Country: UNITED STATES egistration number (if any) through (f) below for each custodian the private fund uses. If the private fund uses. If the private fund uses.	Yes C
ore core core core core core core core c	e than one custodian, you is segal name of custodian: CREDIT SUISSE SECURITIES of the location of the custodian is the custodian is a broker in the custodian in the custodian in the custodian is a broker in the custodian in the custodia	must complete questions (S (USA) LLC custodian: S (USA) LLC an's office responsible for State: New York person of your firm? r-dealer, provide its SEC reference of the provide its SEC reference	custody of the private fund's assets (city, state and country): Country: UNITED STATES egistration number (if any) through (f) below for each custodian the private fund uses. If the private by through (f) separately for each custodian.	Yes O

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 53 of 80

(e)	Is the custodian a <i>related pe</i>	erson of your firm?		0
(f)	If the custodian is a broker-	dealer, provide its SEC registra	tion number (if any)	
	8 - 17822			
	CRD Number (if any):			
	2525			
			gh (f) below for each custodian the <i>private fund</i> uses. If toogh (f) separately for each custodian.	he <i>private fund</i> use
h)	Legal name of custodian:			
	DEUTSCHE BANK TRUST COM	MPANY AMERICAS		
	Primary business name of co DEUTSCHE BANK TRUST COM			
			y of the <i>private fund</i> 's assets (city, state and country):	
	City: NEW YORK	State: New York	Country: UNITED STATES	
e)	Is the custodian a <i>related pe</i>	erson of your firm?		Yes I
Ð	If the custodian is a broker	dealer provide its SEC registra	tion number (if any)	
')	ir the custodian is a broker- -	dealer, provide its SEC registra	tion number (ii any)	
	CRD Number (if any):			
			gh (f) below for each custodian the <i>private fund</i> uses. If tough (f) separately for each custodian.	he <i>private fund</i> use
-	Legal name of custodian: GOLDMAN SACHS BANK USA			
•	Primary business name of co GOLDMAN SACHS BANK USA			
-			y of the <i>private fund</i> 's assets (city, state and country):	
	City: NEW YORK	State: New York	Country: UNITED STATES	
				Yes I
e)	Is the custodian a <i>related pe</i>	erson of your firm?		c
f)	If the custodian is a broker- -	dealer, provide its SEC registra	tion number (if any)	
	CRD Number (if any):			
			gh (f) below for each custodian the <i>private fund</i> uses. If tough (f) separately for each custodian.	he <i>private fund</i> use
	Legal name of custodian: GOLDMAN, SACHS & CO.			
(c)				
	Primary business name of cogodoman, SACHS & CO.	ustodian:		
(d)	GOLDMAN, SACHS & CO.		ly of the <i>private fund</i> 's assets (city, state and country): Country:	

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 54 of 80

(f) If the 8 - 1	ne custodian a <i>related pe</i>			Yes
f) If the 8 - 1 CRD	ne custodian a <i>related pe</i>			
8 - 1 CRD		erson of your firm?		O
8 - 1 CRD	ne custodian is a broker-o	dealer, provide its SEC registration	on number (if any)	
			, ,,	
	Number (if any):			
			(f) below for each custodian the <i>private fund</i> use	s. If the <i>private fund</i> use
nore tha	an one custodian, you m	ust complete questions (b) throu	igh (f) separately for each custodian.	
	al name of custodian: MORGAN SECURITIES LL	С		
•	nary business name of cu MORGAN SECURITIES LL			
d) The	location of the custodiar	n's office responsible for <i>custody</i>	of the <i>private fund</i> 's assets (city, state and countr	~y):
City:		State:	Country:	• •
-	/ YORK	New York	UNITED STATES	
				Yes
e) Is th	ne custodian a <i>related pe</i>	erson of your firm?		c
8 - 3	ne custodian is a broker-o 35008			
8 - 3 CRD 79	35008 Number (if any):			
8 - 3 CRD 79 f the annore than	35008 Number (if any):		(f) below for each custodian the <i>private fund</i> use ligh (f) separately for each custodian.	s. If the <i>private fund</i> use
8 - 3 CRD 79 f the an nore tha b) Lega JEFF c) Prim	35008 Number (if any): nswer to 25(a) is "yes," in an one custodian, you man al name of custodian:	ust complete questions (b) throu		s. If the <i>private fund</i> use
8 - 3 CRD 79 f the annore that b) Lega JEFF c) Prim JEFF	nswer to 25(a) is "yes," is an one custodian: FERIES LLC	ust complete questions (b) throu		
8 - 3 CRD 79 If the annore that b) Legal JEFF c) Prim JEFF d) The City:	nswer to 25(a) is "yes," is an one custodian; ERIES LLC nary business name of custodian; ERIES LLC	ust complete questions (b) throustodian: n's office responsible for <i>custody</i> State:	of the <i>private fund</i> 's assets (city, state and countr Country:	
8 - 3 CRD 79 If the annore that D) Legal JEFF C) Prim JEFF d) The City:	nswer to 25(a) is "yes," is an one custodian; reries LLC reries LLC location of the custodian	ust complete questions (b) throustodian: n's office responsible for <i>custody</i>	igh (f) separately for each custodian. of the <i>private fund</i> 's assets (city, state and countr	ry):
8 - 3 CRD 79 f the annore that Discourse the second of th	nswer to 25(a) is "yes," is an one custodian; ERIES LLC nary business name of custodian; ERIES LLC	ust complete questions (b) throu ustodian: n's office responsible for <i>custody</i> State: New York	of the <i>private fund</i> 's assets (city, state and countr Country:	·y): Yes
8 - 3 CRD 79 If the annore that b) Legal JEFF c) Prim JEFF d) The City: NEW e) Is the	assons Number (if any): Inswer to 25(a) is "yes," if an one custodian, you meal name of custodian: FERIES LLC Insert business name of custodian: I VYORK The custodian a related peace.	ust complete questions (b) throu ustodian: n's office responsible for <i>custody</i> State: New York	of the <i>private fund</i> 's assets (city, state and countr Country: UNITED STATES	·y): Yes

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 55 of 80

(d)	The location of the custodian's office	ce responsible for custody	of the private fund's assets (city, state and country):	
	City:	State:	Country:	
	NEW YORK	New York	UNITED STATES	
				Yes No
(e)	Is the custodian a related person of	f your firm?		\circ
(f)	If the custodian is a broker-dealer,	provide its SEC registration	ion number (if any)	
	-			
	CRD Number (if any):			
7.5 1.	h	d 4	h (6) halan fan arab anatadan bha nainte fan duara. Tê bha nain	
			h (f) below for each custodian the <i>private fund</i> uses. If the <i>priv</i> ough (f) separately for each custodian.	ate runa uses
	. o man one cascoaran, you mase con	mpiece questions (s) amor	(i) soperately for each castoalain	
(h)	Legal name of custodian:			
	MERRILL LYNCH INTERNATIONAL LI	MITED		
(c)	Primary business name of custodia	n:		
` ′	MERRILL LYNCH INTERNATIONAL LI			
(d)	The location of the custodian's office	ce responsible for custody	of the private fund's assets (city, state and country):	
	City:	State:	Country:	
	LONDON		UNITED KINGDOM	
				Yes No
(e)	Is the custodian a related person of	f your firm?		0 0
(f)	If the custodian is a broker-dealer,	provide its SEC registration	ion number (if any)	
	-			
	CRD Number (if any):			
7.5 L	ha anguar ta 25(a) ia llyaa ll raanan	d to avections (b) through	h (f) halaw fan aanh gwatadian tha newysta fynd waar 16 tha new	into filmd was a
			h (f) below for each custodian the <i>private fund</i> uses. If the <i>priv</i> ough (f) separately for each custodian.	ate runa uses
		(-)	(,,,, ,, ,	
(b)	Legal name of custodian:			
(-)	MERRILL LYNCH, PIERCE, FENNER 8	SMITH INCORPORATED		
(c)	Primary business name of custodia	n:		
	MERRILL LYNCH, PIERCE, FENNER 8	& SMITH INCORPORATED		
(d)	The location of the custodian's office	ce responsible for custody	of the private fund's assets (city, state and country):	
	City:	State:	Country:	
	NEW YORK	New York	UNITED STATES	
				Yes No
(e)	Is the custodian a related person of	f your firm?		_ ⊙
(f)	If the custodian is a broker-dealer,	provide its SEC registration	ion number (if any)	
	8 - 7221			
	CRD Number (if any):			
	7691			
If t	ne answer to 25(a) is "yes," respon	a to questions (b) through	h (f) below for each custodian the private fund uses. If the priv	ate fund uses

If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the *private fund* uses. If the *private fund* uses more than one custodian, you must complete questions (b) through (f) separately for each custodian.

(b) Legal name of custodian: MORGAN STANLEY & CO INTERNATIONAL PLC

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 56 of 80

(c)	Primary business name of cus MORGAN STANLEY & CO INTER			
(4)	The location of the custodian's	s office responsible for su	ustody of the private fund's assets (city, state and country):	
(u)	City:	State:	Country:	
	LONDON		UNITED KINGDOM	
(0)	Is the custodian a related pers	con of your firm?		Yes No
(6)	is the custodian a related pers	son or your mine		0 @
(f)	If the custodian is a broker-de	ealer, provide its SEC regi	gistration number (if any)	
	CRD Number (if any):			
			through (f) below for each custodian the <i>private fund</i> uses. If the or	e <i>private fund</i> uses
(b)	Legal name of custodian: MORGAN STANLEY & CO. LLC			
(c)	Primary business name of cus MORGAN STANLEY & CO. LLC	todian:		
(d)	The location of the custodian's	s office responsible for <i>cu</i>	ustody of the private fund's assets (city, state and country):	
	City:	State:	Country:	
	NEW YORK	New York	UNITED STATES	Yes No
(e)	Is the custodian a related pers	son of your firm?		0 0
(f)	If the custodian is a broker-de	ealer, provide its SEC regi	gistration number (if any)	
	8 - 15869 CRD Number (if any): 8209			
11			chrough (f) below for each custodian the <i>private fund</i> uses. If the o) through (f) separately for each custodian.	e <i>private fund</i> uses
(b)	Legal name of custodian: NOMURA SECURITIES INTERNA	ATIONAL, INC.		
(c)	Primary business name of cus NOMURA SECURITIES INTERNA			
(d)	The location of the custodian's	s office responsible for <i>cu</i>	ustody of the private fund's assets (city, state and country):	
	City:	State:	Country:	
	NEW YORK	New York	UNITED STATES	Yes No
(e)	Is the custodian a related pers	son of your firm?		0 0
(f)	If the custodian is a broker-de	ealer, provide its SEC regi	gistration number (if any)	
	8 - 15255 CRD Number (if any): 4297			
	,			

If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the *private fund* uses. If the *private fund* uses more than one custodian, you must complete questions (b) through (f) separately for each custodian.

(b) Legal name of custodian:

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 57 of 80 PERSHING LLC (c) Primary business name of custodian: PERSHING LLC (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): State: Country: JERSEY CITY New Jersey **UNITED STATES** Yes No (e) Is the custodian a related person of your firm? **©** (f) If the custodian is a broker-dealer, provide its SEC registration number (if any) 8 - 17574 CRD Number (if any): 7560 If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: STATE STREET BANK AND TRUST COMPANY (c) Primary business name of custodian: STATE STREET BANK AND TRUST COMPANY (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): State: Country: **BOSTON** Massachusetts **UNITED STATES** Yes No (e) Is the custodian a related person of your firm? \odot (f) If the custodian is a broker-dealer, provide its SEC registration number (if any) CRD Number (if any): If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses more than one custodian, you must complete questions (b) through (f) separately for each custodian. (b) Legal name of custodian: THE BANK OF NEW YORK MELLON (c) Primary business name of custodian: THE BANK OF NEW YORK MELLON (d) The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): State: Country: City: **NEW YORK** New York **UNITED STATES** Yes No (e) Is the custodian a related person of your firm? ⊚ 0 (f) If the custodian is a broker-dealer, provide its SEC registration number (if any)

If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the *private fund* uses. If the *private fund* uses more than one custodian, you must complete questions (b) through (f) separately for each custodian.

CRD Number (if any):

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 58 of 80

(c) Primary business name of UBS SECURITIES LLC	custodian:		
(d) The location of the custod	lian's office responsible for <i>custody</i> o	f the <i>private fund</i> 's assets (city, state and country):	
City: NEW YORK	State: New York	Country: UNITED STATES	
NEW TORK	New Tork	ONTED STATES	Ye
(e) Is the custodian a related	person of your firm?		c
(f) If the custodian is a broke	er-dealer, provide its SEC registration	number (if anv)	
8 - 22651	,,,		
CRD Number (if any): 7654			
<u>trator</u>			
Does the <i>private fund</i> use an ad	ministrator other than your firm?		
	respond to questions (b) through (f) (f) separately for each administrator	below. If the <i>private fund</i> uses more than one admi	nistrator, you mu
Additional Administrator Info	rmation: 2 Record(s) Filed.		
If the answer to 26(a) is "yes	," respond to questions (b) through ((f) below. If the <i>private fund</i> uses more than one adr	ministrator, you r
complete questions (b) through	gh (f) separately for each administrat	or.	
(b) Name of the administrator	r:		
HARMONIC FUND SERVICE	:S		
(c) Location of administrator	(city, state and country):		
City:	State:	Country:	
GRAND CAYMAN		CAYMAN ISLANDS	Yes
(d) Is the administrator a rela	nted person of your firm?		0
(a) Dana tha a dayini atau ta u			
' '		atements to the <i>private fund</i> 's investors? but not all investors) © No (provided to no investors)
(6) If the amount to 20(a) in	nts are not sent to the (rest of the)	private fund's investors, respond "not applicable."	una's investors?
(f) If the answer to 26(e) is investor account stateme REGISTRANT AND ITS AFF			
investor account stateme REGISTRANT AND ITS AFF	" recoond to questions (b) through ((f) below. If the private fundures more than one ad-	ministrator vou r
investor account stateme REGISTRANT AND ITS AFF	," respond to questions (b) through (ph (f) separately for each administral	(f) below. If the <i>private fund</i> uses more than one adr for.	ninistrator, you r
investor account stateme REGISTRANT AND ITS AFF	gh (f) separately for each administrat r:		ninistrator, you r
investor account stateme REGISTRANT AND ITS AFFI If the answer to 26(a) is "yes, complete questions (b) through (b) Name of the administrator	gh (f) separately for each administrat r: MELLON CORPORATION		ninistrator, you r
investor account stateme REGISTRANT AND ITS AFF If the answer to 26(a) is "yes complete questions (b) through the administrato the BANK OF NEW YORK IN THE BANK OF NEW YORK I	gh (f) separately for each administrat r: MELLON CORPORATION		ninistrator, you r

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 59 of 80

OYes (provided to all investors)
 Osme (provided to some but not all investors)
 ONe (provided to no investors)

(f) If the answer to 26(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable." REGISTRANT AND ITS AFFILIATED ENTITIES.

27. During your last fiscal year, what percentage of the private fund's assets (by value) was valued by a person, such as an administrator, that is not your related person?

Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

Marketers

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes? You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or

private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

No Information Filed

similar person. If the answer to 28(a) is "yes", respond to questions (b) through (g) below for each such marketer the private fund uses. If the

Yes No

 \odot

(0)

•

0 **(**

SECTION 7.B.(2) Private Fund Reporting

No Information Filed

Item 8 Participation or Interest in Client Transactions

In this Item, we request information about your participation and interest in your clients' transactions. This information identifies additional areas in which conflicts of interest may occur between you and your clients.

Like Item 7, Item 8 requires you to provide information about you and your related persons, including foreign affiliates.

Proprietary Interest in Client Transactions

- A. Do you or any related person: Yes No (1) buy securities for yourself from advisory clients, or sell securities you own to advisory clients (principal transactions)? **(** (2) buy or sell for yourself securities (other than shares of mutual funds) that you also recommend to advisory clients?
 - (3) recommend securities (or other investment products) to advisory clients in which you or any related person has some other proprietary (ownership) interest (other than those mentioned in Items 8.A.(1) or (2))?

Sales Interest in Client Transactions

B. Do you or any related person: Yes No (1) as a broker-dealer or registered representative of a broker-dealer, execute securities trades for brokerage customers in which advisory (0) \circ client securities are sold to or bought from the brokerage customer (agency cross transactions)? (2) recommend purchase of securities to advisory clients for which you or any related person serves as underwriter, general or managing **(** partner, or purchaser representative?

(3) recommend purchase or sale of securities to advisory clients for which you or any related person has any other sales interest (other than the receipt of sales commissions as a broker or registered representative of a broker-dealer)?

Do you or any related person recommend brokers or dealers to clients?

Investment or Brokerage Discretion C. Do you or any related person have discretionary authority to determine the: Yes No (1) securities to be bought or sold for a client's account? \circ (2) amount of securities to be bought or sold for a client's account? \circ (3) broker or dealer to be used for a purchase or sale of securities for a client's account? 0 (4) commission rates to be paid to a broker or dealer for a client's securities transactions? **6** 0 If you answer "yes" to C.(3) above, are any of the brokers or dealers related persons? **(** 0

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 60 of 80

F.	If you answer "yes" to E above, are any of the brokers or de	alers related persons?	0	0
G.	. (1) Do you or any <i>related person</i> receive research or other p ("soft dollar benefits") in connection with <i>client</i> securitie	products or services other than execution from a broker-dealer or a third party as transactions?	⊙	0
	(2) If "yes" to G.(1) above, are all the "soft dollar benefits" section 28(e) of the Securities Exchange Act of 1934?	you or any <i>related persons</i> receive eligible "research or brokerage services" under	⊙	0
Н.	. Do you or any <i>related person</i> , directly or indirectly, compensati	te any <i>person</i> for <i>client</i> referrals?	0	•
I.	Do you or any related person, directly or indirectly, receive cor	npensation from any <i>person</i> for <i>client</i> referrals?	0	•
		cash compensation that you or a related person gave to (in answering Item 8.H) or recei referrals, including any bonus that is based, at least in part, on the number or amount o		ent
Iter	em 9 Custody			
	this Item, we ask you whether you or a <i>related person</i> has <i>cust</i> vestment Company Act of 1940) assets and about your custodia	rody of $client$ (other than $clients$ that are investment companies registered under the $rotation$) practices.		
A.	. (1) Do you have <i>custody</i> of any advisory <i>clients'</i> :		Yes	No
	(a) cash or bank accounts?		\circ	⊚
	(b) securities?		0	•
	directly from your clients' accounts, or (ii) a related person has	to Item 9.A.(1)(a) and (b) if you have custody solely because (i) you deduct your advisory custody of client assets in connection with advisory services you provide to clients, but y endent (pursuant to Advisers Act rule $206(4)$ - $(2)(d)(5)$) from the related person.		
	(2) If you checked "yes" to Item 9.A.(1)(a) or (b), what is the you have custody:	ne approximate amount of <i>client</i> funds and securities and total number of <i>clients</i> for w	which	1
	U.S. Dollar Amount Total Numb	ber of <i>Clients</i>		
	(a) \$			
	include the amount of those assets and the number of those cl	custody solely because you deduct your advisory fees directly from your clients' accounts, lients in your response to Item 9.A.(2). If your related person has custody of client asset include the amount of those assets and number of those clients in your response to 9.A(2).	ts in	
В.	(1) In connection with advisory services you provide to clien	nts, do any of your related persons have custody of any of your advisory clients':	Yes	No
	(a) cash or bank accounts?		\odot	\circ
	(b) securities?		⊙	0
	You are required to answer this item regardless of how you answ	wered Item 9.A.(1)(a) or (b).		
	(2) If you checked "yes" to Item 9.B.(1)(a) or (b), what is the your related persons have custody:	ne approximate amount of <i>client</i> funds and securities and total number of <i>clients</i> for w	which	1
	U.S. Dollar Amount Total Numb	ber of <i>Clients</i>		
	(a) \$ 45,178,981,922 (b) 2			
C.	. If you or your <i>related persons</i> have <i>custody</i> of <i>client</i> funds or sthat apply:	securities in connection with advisory services you provide to clients, check all the fol	llowi	ng
		ase quarterly to the investors in the position investment vernole(s) you manager	~	
	(3) An independent public accountant conducts an annual sur	prise examination of <i>client</i> funds and securities.		
	(4) An <i>independent public accountant</i> prepares an internal co are qualified custodians for <i>client</i> funds and securities.	ontrol report with respect to custodial services when you or your related persons		
		of Schedule D the accountants that are engaged to perform the audit or examination or pure not have to list auditor information in Section 9.C. of Schedule D if you already provided tion 7.B.(1) of Schedule D).	-	re
D.	. Do you or your <i>related person(s)</i> act as qualified custodians for	or your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	Yes	No
	(1) you act as a qualified custodian		0	•

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 61 of 80
(2) your related person(s) act as qualified custodian(s)
If you checked "yes" to Item 9.D.(2), all related persons that act as qualified custodians (other than any mutual fund transfer agent pursuant to rule 206(4)-2(b)(1)) must be identified in Section 7.A. of Schedule D, regardless of whether you have determined the related person to be operationally independe under rule 206(4)-2 of the Advisers Act.
E. If you are filing your annual updating amendment and you were subject to a surprise examination by an independent public accountant during your last fiscal year, provide the date (MM/YYYY) the examination commenced:
F. If you or your <i>related persons</i> have <i>custody</i> of <i>client</i> funds or securities, how many persons, including, but not limited to, you and your <i>related persons</i> , as qualified custodians for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ? 22
SECTION 9.C. Independent Public Accountant
No Information Filed
Item 10 Control Persons
In this Item, we ask you to identify every <i>person</i> that, directly or indirectly, <i>controls</i> you.
If you are submitting an initial application or report, you must complete Schedule A and Schedule B. Schedule A asks for information about your direct owner and executive officers. Schedule B asks for information about your indirect owners. If this is an amendment and you are updating information you reported on either Schedule A or Schedule B (or both) that you filed with your initial application or report, you must complete Schedule C. Yes
A. Does any <i>person</i> not named in Item 1.A. or Schedules A, B, or C, directly or indirectly, <i>control</i> your management or policies?
If yes, complete Section 10.A. of Schedule D.
B. If any <i>person</i> named in Schedules A, B, or C or in Section 10.A. of Schedule D is a public reporting company under Sections 12 or 15(d) of the Securities Exchange Act of 1934, please complete Section 10.B. of Schedule D.
SECTION 10.A. Control Persons
No Information Filed
SECTION 10.B. Control Person Public Reporting Companies
No Information Filed
Item 11 Disclosure Information
In this Item, we ask for information about your disciplinary history and the disciplinary history of all your advisory affiliates. We use this information to determine whether to grant your application for registration, to decide whether to revoke your registration or to place limitations on your activities as an investment adviser, and to identify potential problem areas to focus on during our on-site examinations. One event may result in "yes" answers to more the questions below.
Your <i>advisory affiliates</i> are: (1) all of your current <i>employees</i> (other than <i>employees</i> performing only clerical, administrative, support or similar functions); (2) of your officers, partners, or directors (or any <i>person</i> performing similar functions); and (3) all <i>persons</i> directly or indirectly <i>controlling</i> you or <i>controlled</i> by you If you are a "separately identifiable department or division" (SID) of a bank, see the Glossary of Terms to determine who your <i>advisory affiliates</i> are.
If you are registered or registering with the SEC or if you are an exempt reporting adviser, you may limit your disclosure of any event listed in Item 11 to ten years following the date of the event. If you are registered or registering with a state, you must respond to the questions as posed; you may, therefore, limit your disclosure to ten years following the date of an event only in responding to Items 11.A.(1), 11.A.(2), 11.B.(1), 11.B.(2), 11.D.(4), and 11.H.(1)(a). For purposes of calculating this ten-year period, the date of an event is the date the final order, judgment, or decree was entered, or the date any rights of appeal from preliminary orders, judgments, or decrees lansed.

You must complete the appropriate Disclosure Reporting Page ("DRP") for "yes" answers to the questions in this Item 11.

Yes No

Do any of the events below involve you or any of your supervised persons?

O

For "yes" answers to the following questions, complete a Criminal Action DRP:

A. In the past ten years, have you or any *advisory affiliate*:

Yes No

(1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony?

⊙ ⊙

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 62 of 80 (2) been charged with any felony?

	(1) John Granges With Str. J. 1007/J.	O	٠
	If you are registered or registering with the SEC, or if you are reporting as an exempt reporting adviser, you may limit your response to Item 11.A.(2) charges that are currently pending.	to	
B.	In the past ten years, have you or any advisory affiliate:		
	(1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to a <i>misdemeanor</i> involving: investments or an <i>investment-related</i> business, or any fraud, false statements, or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses?	0	•
	(2) been charged with a misdemeanor listed in Item 11.B.(1)?	0	•
	If you are registered or registering with the SEC, or if you are reporting as an exempt reporting adviser, you may limit your response to Item 11.B.(2) charges that are currently pending.	to	
For	"yes" answers to the following questions, complete a Regulatory Action DRP:		
C.	Has the SEC or the Commodity Futures Trading Commission (CFTC) ever:	Yes	No
	(1) found you or any advisory affiliate to have made a false statement or omission?	0	⊚
	(2) found you or any advisory affiliate to have been involved in a violation of SEC or CFTC regulations or statutes?	0	•
	(3) found you or any advisory affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?	0	•
	(4) entered an order against you or any advisory affiliate in connection with investment-related activity?	0	⊙
	(5) imposed a civil money penalty on you or any advisory affiliate, or ordered you or any advisory affiliate to cease and desist from any activity?	o	•
D.	Has any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority:		
	(1) ever found you or any advisory affiliate to have made a false statement or omission, or been dishonest, unfair, or unethical?	0	•
	(2) ever found you or any advisory affiliate to have been involved in a violation of investment-related regulations or statutes?	•	0
	(3) ever <i>found</i> you or any <i>advisory affiliate</i> to have been a cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked, or restricted?	0	•
	(4) in the past ten years, entered an order against you or any advisory affiliate in connection with an investment-related activity?	0	•
	(5) ever denied, suspended, or revoked your or any advisory affiliate's registration or license, or otherwise prevented you or any advisory affiliate, by order, from associating with an investment-related business or restricted your or any advisory affiliate's activity?	0	•
E.	Has any self-regulatory organization or commodities exchange ever:		
	(1) found you or any advisory affiliate to have made a false statement or omission?	0	•
	(2) found you or any advisory affiliate to have been involved in a violation of its rules (other than a violation designated as a "minor rule violation" under a plan approved by the SEC)?	•	o
	(3) found you or any advisory affiliate to have been the cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?	0	•
	(4) disciplined you or any advisory affiliate by expelling or suspending you or the advisory affiliate from membership, barring or suspending you or the advisory affiliate from association with other members, or otherwise restricting your or the advisory affiliate's activities?	0	•
F.	Has an authorization to act as an attorney, accountant, or federal contractor granted to you or any advisory affiliate ever been revoked or suspended?	0	•
G.	Are you or any <i>advisory affiliate</i> now the subject of any regulatory proceeding that could result in a "yes" answer to any part of Item 11.C., 11.D., or 11.E.?	•	0
For	"yes" answers to the following questions, complete a Civil Judicial Action DRP:		
н.	(1) Has any domestic or foreign court:	Yes	No
	(a) in the past ten years, enjoined you or any advisory affiliate in connection with any investment-related activity?	0	•
	(b) ever found that you or any advisory affiliate were involved in a violation of investment-related statutes or regulations?	0	•
	(c) ever dismissed, pursuant to a settlement agreement, an <i>investment-related</i> civil action brought against you or any <i>advisory affiliate</i> by a state or <i>foreign financial regulatory authority</i> ?		•
	(2) Are you or any advisory affiliate now the subject of any civil proceeding that could result in a "yes" answer to any part of Item 11.H.(1)?	0	•

Item 12 Small Businesses

The SEC is required by the Regulatory Flexibility Act to consider the effect of its regulations on small entities. In order to do this, we need to determine whether you meet the definition of "small business" or "small organization" under rule 0-7.

Answer this Item 12 only if you are registered or registering with the SEC and you indicated in response to Item 5.F.(2)(c) that you have regulatory assets

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 63 of 80

under management of less than \$25 million. You are not required to answer this Item 12 if you are filing for initial registration as a state adviser, amending a current state registration, or switching from SEC to state registration.

For purposes of this Item 12 only:

- Total Assets refers to the total assets of a firm, rather than the assets managed on behalf of *clients*. In determining your or another *person's* total assets, you may use the total assets shown on a current balance sheet (but use total assets reported on a consolidated balance sheet with subsidiaries included, if that amount is larger).
- Control means the power to direct or cause the direction of the management or policies of a person, whether through ownership of securities, by contract, or otherwise. Any person that directly or indirectly has the right to vote 25 percent or more of the voting securities, or is entitled to 25 percent or more of the profits, of another person is presumed to control the other person.

		Yes	No
A.	Did you have total assets of \$5 million or more on the last day of your most recent fiscal year?	0	0
If "	yes," you do not need to answer Items 12.B. and 12.C.		
В.	Do you:		
	(1) control another investment adviser that had regulatory assets under management (calculated in response to Item 5.F.(2)(c) of Form ADV of \$25 million or more on the last day of its most recent fiscal year?	/) o	O
	(2) control another person (other than a natural person) that had total assets of \$5 million or more on the last day of its most recent fiscal year?	0	0
C.	Are you:		
	(1) controlled by or under common control with another investment adviser that had regulatory assets under management (calculated in response to Item 5.F.(2)(c) of Form ADV) of \$25 million or more on the last day of its most recent fiscal year?	0	0
	(2) controlled by or under common control with another person (other than a natural person) that had total assets of \$5 million or more on t last day of its most recent fiscal year?	he o	O

Schedule A

Direct Owners and Executive Officers

- 1. Complete Schedule A only if you are submitting an initial application or report. Schedule A asks for information about your direct owners and executive officers. Use Schedule C to amend this information.
- 2. Direct Owners and Executive Officers. List below the names of:
 - (a) each Chief Executive Officer, Chief Financial Officer, Chief Operations Officer, Chief Legal Officer, Chief Compliance Officer (Chief Compliance Officer is required if you are registered or applying for registration and cannot be more than one individual), director, and any other individuals with similar status or functions:
 - (b) if you are organized as a corporation, each shareholder that is a direct owner of 5% or more of a class of your voting securities, unless you are a public reporting company (a company subject to Section 12 or 15(d) of the Exchange Act);

 Direct owners include any *person* that owns, beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 5% or more of a class of your voting securities. For purposes of this Schedule, a *person* beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant, or right to purchase the security.
 - (c) if you are organized as a partnership, <u>all</u> general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 5% or more of your capital;
 - (d) in the case of a trust that directly owns 5% or more of a class of your voting securities, or that has the right to receive upon dissolution, or has contributed, 5% or more of your capital, the trust and each trustee; and
 - (e) if you are organized as a limited liability company ("LLC"), (i) those members that have the right to receive upon dissolution, or have contributed, 5% or more of your capital, and (ii) if managed by elected managers, all elected managers.
- 3. Do you have any indirect owners to be reported on Schedule B? \bigcirc Yes \bigcirc No
- 4. In the DE/FE/I column below, enter "DE" if the owner is a domestic entity, "FE" if the owner is an entity incorporated or domiciled in a foreign country, or "I" if the owner or executive officer is an individual.
- 5. Complete the Title or Status column by entering board/management titles; status as partner, trustee, sole proprietor, elected manager, shareholder, or member; and for shareholders or members, the class of securities owned (if more than one is issued).
- 6. Ownership codes are: NA less than 5% B 10% but less than 25% D 50% but less than 75% A 5% but less than 10% C 25% but less than 50% E 75% or more
- 7. (a) In the Control Person column, enter "Yes" if the person has control as defined in the Glossary of Terms to Form ADV, and enter "No" if the person does not have control. Note that under this definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are control persons.
 - (b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Exchange Act.
 - (c) Complete each column.

FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name)	DE/FE/I				Control Person		CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or Employer ID No.
SINGER, PAUL, ELLIOTT	I	PRESIDENT, DIRECTOR, CEO, CO-CHIEF INVESTMENT OFFICER	10/1994	NA	Υ	N	872317
ELLIOTT CAPITAL ADVISORS, L.P.	DE	SHAREHOLDER OF ELLIOTT MANAGEMENT CORPORATION	06/1997	E	Υ	N	22-2747694
HORN, KEITH, L	I	VICE PRESIDENT, CHIEF OPERATING OFFICER OF	08/2003	NA	Υ	N	1740901

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 64 of 80

	1	ELLIOTT MANAGEMENT CORPORATION			Ĭ	1	
NADELL, JOSHUA, JAY I VICE PRESIDENT, SECRETARY, TREASURER, CHIEF FINANCIAL OFFICER OF ELLIOTT MANAGEMENT		07/2005	NA	Y	N	2680281	
		CORPORATION			<u> </u>	╄	
JOEL, EDWARD, THOMAS	I	CHIEF COMPLIANCE OFFICER	07/2005	NA	Υ	-	1878527
SINGER, PAUL, ELLIOTT	I	GENERAL PARTNER OF ELLIOTT CAPITAL ADVISORS, L.P.	09/1986	Α	Υ	+	872317
BRAXTON ASSOCIATES, INC.	DE	GENERAL PARTNER OF ELLIOTT CAPITAL ADVISORS, L.P.	09/1986	NA	Υ	+	22-2285550
LLC MANAGEMENT	DE	GENERAL PARTNER OF ELLIOTT CAPITAL ADVISORS, L.P.	02/2003	Α	Y	N	82-0584694
JUNE 1, 2006 GORDON M. SINGER 1983 TRUST	DE	LIMITED PARTNER OF ELLIOTT CAPITAL ADVISORS, L.P.	06/2006	В	N	N	22-6362897
APRIL 1, 1990 ANDREW SINGER TRUST	DE	LIMITED PARTNER OF ELLIOTT CAPITAL ADVISORS, L.P.	07/2009	С	N	N	13-7239404
NOVEMBER 18, 2009 PAUL E. SINGER FAMILY TRUST IIF	DE	LIMITED PARTNER OF ELLIOTT CAPITAL ADVISORS, L.P.	01/2010	С	N	N	35-6828753
SINGER, PAUL, ELLIOTT	I	DIRECTOR, PRESIDENT AND SHAREHOLDER OF ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC.	10/1994	D	Y	N	872317
NOVEMBER 18, 2009 PAUL E. SINGER FAMILY TRUST IIE	DE	SHAREHOLDER OF ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC.	01/2010	E	N	N	35-6828752
SINGER, PAUL, ELLIOTT	I	MANAGING MEMBER OF ELLIOTT SPECIAL GP, LLC	09/2004	NA	Υ	N	872317
ELLIOTT CAPITAL ADVISORS, L.P.	DE	MANAGING MEMBER OF ELLIOTT SPECIAL GP, LLC	09/2004	NA	Y	+	22-2747694
MILLER, BRIAN, PAUL	I	MEMBER OF, AND CONTROL PERSON OF MEMBER OF, ELLIOTT SPECIAL GP, LLC	01/2005	A	N	N	1690452
POLLOCK, JONATHAN, D	I	MEMBER OF, AND PRINCIPAL OWNER OF MEMBER OF, ELLIOTT SPECIAL GP, LLC	07/2009	В	N	N	1619709
ELLIOTT ASSET MANAGEMENT	DE	MANAGER OF ELLIOTT SPECIAL MANAGER, LLC	10/2009	NA	Y	N	82-0584694
ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC.	DE	MEMBER OF ELLIOTT SPECIAL MANAGER, LLC	10/2009	E	N	N	22-3338737
ELLIOTT ADVISORS (HK) LIMITED	FE	SHAREHOLDER OF ELLIOTT ADVISORS ASIA LIMITED	11/2006	E	Υ	N	FOREIGN
ELLIOTT CAPITAL (HK) LIMITED	FE	SHAREHOLDER OF ELLIOTT ADVISORS (HK) LIMITED	05/2004	E	Υ	N	FOREIGN
POLLOCK, JONATHAN, D	I	DIRECTOR OF ELLIOTT ADVISORS (HK) LIMITED	06/2004	NA	Υ	N	1619709
HORN, KEITH, L	I	DIRECTOR OF ELLIOTT ADVISORS (HK) LIMITED	03/2005	NA	Y	-	1740901
ELLIOTT ASSOCIATES, L.P.	DE	SHAREHOLDER OF ELLIOTT ADVISORS (UK) LIMITED	01/1996	В	N	-	22-2140975
POLLOCK, JONATHAN, D	I	DIRECTOR AND SHAREHOLDER OF ELLIOTT ADVISORS (UK) LIMITED	12/2001	В	Y	N	1619709
SINGER, GORDON, MATTHEW	I	CHIEF EXECUTIVE OFFICER AND DIRECTOR OF ELLIOTT ADVISORS (UK) LIMITED	03/2009	NA	Y	N	5908245
HORN, KEITH, L	I	DIRECTOR OF ELLIOTT ADVISORS (UK) LIMITED	05/2005	NA	Υ	N	1740901
KAPLAN, MYRON	I	TRUSTEE OF THE APRIL 1, 1990 ANDREW SINGER TRUST, A LIMITED PARTNER OF ELLIOTT CAPITAL ADVISORS, L.P.		E	N	N	5907834
KAPLAN, MYRON	I	TRUSTEE OF THE JUNE 1, 2006 GORDON M. SINGER 1983 TRUST, A LIMITED PARTNER OF ELLIOTT CAPITAL ADVISORS, L.P.	06/2006	E	N	N	5907834
KAPLAN, MYRON	I	TRUSTEE OF THE NOVEMBER 18, 2009 PAUL E. SINGER FAMILY TRUST IIF, A LIMITED PARTNER OF ELLIOTT CAPITAL ADVISORS, L.P.	01/2010	E	N	N	5907834
SMITH, JAMES, NICHOLAS BARRIE	I	DIRECTOR OF ELLIOTT ADVISORS ASIA LIMITED	01/2008	NA	Y	N	6024263
HUI, WING FAI, DANNY	I	DIRECTOR OF ELLIOTT ADVISORS ASIA LIMITED	11/2009	NA	Υ	N	6024268
REID, PAUL, MICHAEL	I	SHAREHOLDER OF ELLIOTT ADVISORS (UK) LIMITED	08/2003	В	N	N	6024270
GUNN, IAIN, ANDREW	I	SHAREHOLDER OF ELLIOTT ADVISORS (UK) LIMITED	10/2004	В	N	N	6024276
SMITH, JAMES, NICHOLAS BARRIE	I	DIRECTOR OF ELLIOTT ADVISORS (HK) LIMITED	01/2008	NA	Y	N	6024263
SINGER, GORDON, MATTHEW	I	TRUSTEE OF THE NOVEMBER 18, 2009 PAUL E. SINGER FAMILY TRUST IIF, A LIMITED PARTNER OF ELLIOTT CAPITAL ADVISORS, L.P.	01/2010	D	N	N	5908245
MORRIS-SINGER, ANDREW	I	TRUSTEE OF THE APRIL 1, 1990 ANDREW SINGER TRUST, A LIMITED PARTNER OF ELLIOTT CAPITAL ADVISORS, L.P.	01/2010	С	N	N	5908262
SINGER, GORDON, MATTHEW	I	TRUSTEE OF THE NOVEMBER 18, 2009 PAUL E. SINGER FAMILY TRUST IIE, SHAREHOLDER OF ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC.	01/2010	E	N	N	5908245
MORRIS-SINGER, ANDREW	I	TRUSTEE OF THE NOVEMBER 18, 2009 PAUL E. SINGER	01/2010	E	N	N	5908262

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 65 of 80

					•		
		FAMILY TRUST IIE, SHAREHOLDER OF ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC.					
KAPLAN, MYRON	I	TRUSTEE OF THE NOVEMBER 18, 2009 PAUL E. SINGER FAMILY TRUST IIE, SHAREHOLDER OF ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC.	01/2010	Е	N	N	5907834
SINGER, GORDON, MATTHEW I		TRUSTEE OF THE JUNE 1, 2006 GORDON M. SINGER 1983 TRUST, A LIMITED PARTNER OF ELLIOTT CAPITAL ADVISORS, L.P.	06/2006	D	N	N	5908245
LEVINE, MARK, NATHAN	I	SHAREHOLDER OF ELLIOTT ADVISORS (UK) LIMITED	12/2001	В	N	N	2768206
LEVINE, JOSHUA	I	DIRECTOR OF ELLIOTT ADVISORS ASIA LIMITED	11/2009	NA	Υ	N	6025009
KASOFF, STEVEN, HOWARD	I	MEMBER OF, AND TRUSTEE OF MEMBERS OF, ELLIOTT SPECIAL GP, LLC	01/2005	В	N	N	2929537
SINGER, GORDON, MATTHEW	I	MEMBER OF ELLIOTT ADVISORS (LONDON), LLC	02/2011	E	Υ	N	5908245
KAPLAN, MYRON	I	MANAGER OF ELLIOTT ADVISORS (LONDON), LLC	02/2011	NA	Υ	N	5907834
LEDLEY, JAMES, R	I	MANAGER OF ELLIOTT ADVISORS (LONDON), LLC	02/2011	NA	Υ	N	5715222
POLLOCK ADVISORY ASSOCIATES LLC	DE	MEMBER OF ELLIOTT SPECIAL GP, LLC	01/2011	A	N	N	45-3986048
GREENBERG, ELLIOT	I	VICE PRESIDENT OF ELLIOTT MANAGEMENT CORPORATION	08/2005	NA	N	N	1250067
POLLOCK, JONATHAN, D	I	VICE PRESIDENT AND CO-CHIEF INVESTMENT OFFICER OF ELLIOTT MANAGEMENT CORPORATION	01/2011	NA	Y	N	1619709
GORDON M. SINGER 1983 TRUST II	DE	LIMITED PARTNER OF ELLIOTT CAPITAL ADVISORS, L.P.	09/2011	А	N	N	35-6941349
SINGER, GORDON, MATTHEW	I	TRUSTEE OF THE GORDON M. SINGER 1983 TRUST II, A LIMITED PARTNER OF ELLIOTT CAPITAL ADVISORS, L.P.	09/2011	D	N	N	5908245
KAPLAN, MYRON	I	TRUSTEE OF THE GORDON M. SINGER 1983 TRUST II, A LIMITED PARTNER OF ELLIOTT CAPITAL ADVISORS, L.P.	09/2011	E	N	N	5907834
SCHULTZ, STEPHEN, M.	I	DIRECTOR, ELLIOTT INTERNATIONAL CAPITAL ADVISORS INC.	11/2014	NA	Y	N	6470587
SINGER, GORDON, MATTHEW	I	MEMBER OF, AND PRINCIPAL OWNER OF MEMBER OF, ELLIOTT SPECIAL GP, LLC	01/2010	В	N	N	5908245

Schedule B

Indirect Owners

- 1. Complete Schedule B only if you are submitting an initial application. Schedule B asks for information about your indirect owners; you must first complete Schedule A, which asks for information about your direct owners. Use Schedule C to amend this information.
- 2. Indirect Owners. With respect to each owner listed on Schedule A (except individual owners), list below:
 - (a) in the case of an owner that is a corporation, each of its shareholders that beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 25% or more of a class of a voting security of that corporation;

For purposes of this Schedule, a *person* beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant, or right to purchase the security.

- (b) in the case of an owner that is a partnership, <u>all</u> general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 25% or more of the partnership's capital;
- (c) in the case of an owner that is a trust, the trust and each trustee; and
- (d) in the case of an owner that is a limited liability company ("LLC"), (i) those members that have the right to receive upon dissolution, or have contributed, 25% or more of the LLC's capital, and (ii) if managed by elected managers, all elected managers.
- 3. Continue up the chain of ownership listing all 25% owners at each level. Once a public reporting company (a company subject to Sections 12 or 15(d) of the Exchange Act) is reached, no further ownership information need be given.
- 4. In the DE/FE/I column below, enter "DE" if the owner is a domestic entity, "FE" if the owner is an entity incorporated or domiciled in a foreign country, or "I" if the owner is an individual.
- 5. Complete the Status column by entering the owner's status as partner, trustee, elected manager, shareholder, or member; and for shareholders or members, the class of securities owned (if more than one is issued).
- 6. Ownership codes are: C 25% but less than 50% E 75% or more
 - D 50% but less than 75% F Other (general partner, trustee, or elected manager)
- 7. (a) In the Control Person column, enter "Yes" if the person has control as defined in the Glossary of Terms to Form ADV, and enter "No" if the person does not have control. Note that under this definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are control persons.
 - (b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Exchange Act.
 - (c) Complete each column.

FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name)		Entity in Which Interest is Owned		1		Control Person		CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or Employer ID No.
BRAXTON ASSOCIATES, INC.	DE	ELLIOTT CAPITAL	GENERAL PARTNER	09/1986	F	Y	N	22-2285550

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 66 of 80

						9		
		ADVISORS, L.P.						
ELLIOTT ASSET MANAGEMENT LLC	DE	ELLIOTT CAPITAL ADVISORS, L.P.	GENERAL PARTNER	03/2003	F	Y	N	82-0584694
SINGER, PAUL, ELLIOTT	I	ELLIOTT CAPITAL ADVISORS, L.P.	GENERAL PARTNER	09/1986	F	Y	N	872317
SINGER, PAUL, ELLIOTT	I	ELLIOTT ASSET MANAGEMENT LLC	MANAGING MEMBER, PRESIDENT	02/2003	E	Y	N	872317
SINGER, PAUL, ELLIOTT	I	BRAXTON ASSOCIATES, INC.	PRESIDENT, SHAREHOLDER	04/1997	E	Y	N	872317
ELLIOTT CAPITAL (HK) LIMITED	FE	ELLIOTT ADVISORS (HK) LIMITED	SHAREHOLDER	05/2004	E	Y	N	FOREIGN
ELLIOTT INTERNATIONAL, L.P.	FE	ELLIOTT CAPITAL (HK) LIMITED	SHAREHOLDER	05/2004	E	Y	N	FOREIGN
APRIL 1, 1990 ANDREW SINGER TRUST	DE	ELLIOTT CAPITAL ADVISORS, L.P.	LIMITED PARTNER	07/2009	С	N	N	13-7239404
NOVEMBER 18, 2009 PAUL E. SINGER FAMILY TRUST IIF	DE	ELLIOTT CAPITAL ADVISORS, L.P.	LIMITED PARTNER	01/2010	С	N	N	35-6828753
KAPLAN, MYRON	I	ELLIOTT CAPITAL ADVISORS, L.P.	TRUSTEE OF THE APRIL 1, 1990 ANDREW SINGER TRUST, A LIMITED PARTNER	07/2009	E	N	N	5907834
KAPLAN, MYRON	I	ELLIOTT CAPITAL ADVISORS, L.P.	TRUSTEE OF THE NOVEMBER 18, 2009 PAUL E. SINGER FAMILY TRUST IIF, A LIMITED PARTNER	01/2010	E	N	N	5907834
SINGER, GORDON, MATTHEW	I	ELLIOTT CAPITAL ADVISORS, L.P.	TRUSTEE OF THE NOVEMBER 18, 2009 PAUL E. SINGER FAMILY TRUST IIF, A LIMITED PARTNER	01/2010	D	N	N	5908245
MORRIS-SINGER, ANDREW	I	ELLIOTT CAPITAL ADVISORS, L.P.	TRUSTEE OF THE APRIL 1, 1990 ANDREW SINGER TRUST, A LIMITED PARTNER	07/2009	С	N	N	5908262
		-					_	·

Schedule D - Miscellaneous

You may use the space below to explain a response to an Item or to provide any other information.

AS OF DECEMBER 31, 2014, ELLIOTT MANAGED APPROXIMATELY US\$25,666,341,880 OF NET ASSETS UNDER MANAGEMENT ON A DISCRETIONARY BASIS (EXCLUDING LIABILITIES FOR DEFERRED COMPENSATION). REGISTRANT AND ITS RELATED ADVISERS LISTED IN SECTION 7.(A) OF SCHEDULE D ARE TOGETHER FILING A SINGLE FORM ADV IN RELIANCE ON THE POSITION EXPRESSED IN THE SEC STAFF NO-ACTION LETTER DATED, JANUARY 18, 2012, TO THE AMERICAN BAR ASSOCIATION, BUSINESS LAW SECTION, AND PRIOR SEC STAFF NO-ACTION LETTERS (UNIBANCO AND RELATED LETTERS). ITEM 5.E. RELATES SOLELY TO COMPENSATION PAID OR ALLOCATED TO THE RELEVANT RELYING ADVISERS. ELLIOTT ASSOCIATES, L.P. ("EALP") IS A SHAREHOLDER OF ELLIOTT ADVISORS (UK) LIMITED ("EAUK"). SECTION 7.(B)(1) OF SCHEDULE D HAS BEEN COMPLETED FOR EALP. ELLIOTT CAPITAL (HK) LIMITED IS A WHOLLY-OWNED SUBSIDIARY OF ELLIOTT INTERNATIONAL, L.P. ("EILP"). SECTION 7.(B)(1) OF SCHEDULE D HAS BEEN COMPLETED FOR EILP. EAUK IS A RELATED PERSON TO REGISTRANT BY VIRTUE OF A SERVICES AGREEMENT PURSUANT TO WHICH EAUK DERIVES SUBSTANTIALLY ALL OF ITS REVENUE STREAM. ALL REFERENCES HEREIN TO EAUK ARE DEEMED TO BE QUALIFIED BY THIS STATEMENT. ELLIOTT ADVISORS (LONDON), LLC ("EALL") IS A RELATED PERSON TO REGISTRANT BY VIRTUE OF AN INVESTMENT MANAGEMENT SERVICES AGREEMENT PURSUANT TO WHICH EALL DERIVES A SUBSTANTIAL PORTION OF ITS REVENUE STREAM. ALL REFERENCES HEREIN TO EALL ARE DEEMED TO BE QUALIFIED BY THIS STATEMENT. REGISTRANT'S RESPONSE TO QUESTION 14 OF 7.B.(1) OF SCHEDULE D FOR EILP INCLUDES DEFERRED COMPENSATION. IN RESPONSE TO QUESTION 27 OF EACH SECTION 7.B.(1) OF SCHEDULE D, REGISTRANT REPORTED THAT DURING 2014 0% OF THE ASSETS OF THE PRIVATE FUNDS WERE VALUED BY A PERSON THAT IS NOT A RELATED PERSON OF REGISTRANT. NONETHELESS, ELLIOTT HAS RETAINED THE SERVICES OF THE BANK OF NEW YORK MELLON ("BNYM"), DUFF & PHELPS ("D&P") AND EMPIRE VALUATION CONSULTANTS ("EMPIRE") TO PROVIDE CERTAIN PRICE VERIFICATION AND/OR POSITION VALIDATION SERVICES WITH RESPECT TO THE PORTFOLIOS OF THE PRIVATE FUNDS. BNYM INDEPENDENTLY VERIFIES THE PRICES USED TO DETERMINE THE VALUE OF THE PRIVATE FUNDS' PORTFOLIOS BY GATHERING PRICE QUOTES FROM AVAILABLE PRICING SOURCES SUCH AS MARKET DATA VENDORS, PRICING SERVICES, OTC DEALERS, AND INDEPENDENT VALUATION EXPERTS, INCLUDING D&P AND EMPIRE, SPECIFICALLY, BNYM VERIFIES THAT THE PRICES ASSIGNED TO POSITIONS IN THE PRIVATE FUNDS' PORTFOLIOS BY THE REGISTRANT ARE WITHIN TOLERANCE LEVELS DESIGNATED BY THE PRIVATE FUNDS' MANAGEMENT FOR THE APPLICABLE ASSET CLASS. ADDITIONALLY, BNYM VALIDATES POSITIONS IN THE PRIVATE FUNDS' PORTFOLIOS, CONFIRMING THE SIZE AND TERMS OF THE POSITIONS BY RECONCILING POSITIONS TO INDEPENDENT THIRD PARTIES. EACH QUARTER, BNYM RENDERS A REPORT TO THE REGISTRANT AND ISSUES A LETTER TO THE PRIVATE FUNDS REGARDING THE RESULTS OF THE PRICE

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 67 of 80

VERIFICATION AND POSITION VALIDATION CONDUCTED FOR THE APPLICABLE REPORTING PERIOD. D&P PROVIDES THE REGISTRANT WITH AN INDEPENDENT PRICE VERIFICATION OF THE STRUCTURED PRODUCT AND COMMODITY BOOKS AND CERTAIN POSITIONS THAT ARE CONSIDERED TO BE "LEVEL 3" UNDER GENERALLY ACCEPTED ACCOUNTING PRINCIPLES IN THE PRIVATE FUNDS' PORTFOLIOS. EMPIRE PROVIDES THE REGISTRANT WITH SIMILAR INDEPENDENT PRICE VERIFICATION SERVICES WITH RESPECT TO CERTAIN LEVEL 3 POSITIONS IN THE PRIVATE FUNDS' PORTFOLIOS FOR WHICH D&P DOES NOT PROVIDE PRICE VERIFICATION SERVICES. SPECIFICALLY, D&P AND EMPIRE EACH ISSUE A "POSITIVE ASSURANCE" OPINION THAT INDICATES WHETHER THE REGISTRANT'S PRICING OF THE POSITIONS REVIEWED IS "REASONABLE." EACH QUARTER, D&P AND EMPIRE ALSO EACH RENDER A REPORT TO THE REGISTRANT REGARDING THE RESULTS OF THE PRICE VERIFICATION AND ISSUE A LETTER TO THE REGISTRANT.

nformation Filed				
ULATORY ACTIO				
ULATORY ACTION				
	ON DISCLOSURE REPORTIN	IG PAGE (ADV)		
		GENERAL INSTRUCTION	DNS	
Disclosure Repo	rting Page (DRP ADV) is an (INITIAL OR 6 AMENDED response u	ised to report details for aff	firmative responses to Items 11.C., 1
E., 11.F. or 11.G.	of Form ADV.			
		Regulatory Action		
ck item(s) being	responded to:			
11.C(1)	11.C(2)	11.C(3)	11.C(4)	11.C(5)
11.D(1)	☑ 11.D(2)	☐ 11.D(3)	11.D(4)	☐ 11.D(5)
11.E(1)	11.E(2)	11.E(3)	11.E(4)	
11.F.	☐ 11.G.			
a completed Exevent may resul	ecution Page. It in more than one affirmativ	. The same event or <i>proceeding</i> may be re answer to Items 11.C., 11.D., 11.E., nore than one regulator, provide detai	, 11.F. or 11.G. Use only on	e DRP to report details related to th
	one gives the to deticine by t	nor a than one regulator, provide detail	is to cucin delicin on a sepa	
TI				
	r entity(ies) for whom this DI	RP is being filed is (are):		
C You (the adv	visory firm)			
~		iliatos		
C You and one	e or more of your advisory aff	iliates		
C You and one		iliates		
O You and one One or more	e or more of your _{advisory} aff e of your _{advisory} affiliates eing filed for an advisory affilia	iliates ate, give the full name of the <i>advisory a</i> ovide that number. If not, indicate "no	-	
One or more If this DRP is be If the advisory a	e or more of your _{advisory} aff e of your _{advisory} affiliates eing filed for an advisory affilia	ate, give the full name of the advisory a	-	
One or more If this DRP is be If the advisory a	e or more of your advisory aff e of your advisory affiliates eing filed for an advisory affilia affiliate has a CRD number, pr	ote, give the full name of the <i>advisory a</i> ovide that number. If not, indicate "no	on-registered" by checking t	
O You and one One or more If this DRP is be If the advisory a ADV DRP - ADV CRD Number:	e or more of your _{advisory} aff e of your _{advisory} affiliates eing filed for an advisory affilia affiliate has a <i>CRD</i> number, pr	ate, give the full name of the advisory a	on-registered" by checking t	
O You and one One or more If this DRP is be If the advisory a ADV DRP - ADV CRD Number:	e or more of your _{advisory} aff e of your _{advisory} affiliates eing filed for an advisory affilia affiliate has a <i>CRD</i> number, pr	ote, give the full name of the <i>advisory a</i> ovide that number. If not, indicate "no	on-registered" by checking t	
O You and one One or more If this DRP is be If the advisory a ADV DRP - ADV CRD Number: Registered:	e or more of your _{advisory} aff e of your _{advisory} affiliates eing filed for an advisory affilia affiliate has a <i>CRD</i> number, pr	ote, give the full name of the <i>advisory a</i> ovide that number. If not, indicate "no	on-registered" by checking t	
O You and one One or more If this DRP is be If the advisory a ADV DRP - ADV CRD Number: Registered: Name:	e or more of your advisory affile of your advisory affiliates eing filed for an advisory affiliate affiliate has a CRD number, provisions AFFILIATE	ote, give the full name of the <i>advisory a</i> ovide that number. If not, indicate "no	on-registered" by checking t	
One or more If this DRP is be If the advisory a ADV DRP - ADV CRD Number: Registered: Name: E	e or more of your advisory affiliates e of your advisory affiliates eing filed for an advisory affilia affiliate has a CRD number, pr VISORY AFFILIATE O Yes • No LLIOTT ASSOCIATES, L.P.	ote, give the full name of the <i>advisory a</i> ovide that number. If not, indicate "no	on-registered" by checking t	
One or more If this DRP is be If the advisory a ADV DRP - ADV CRD Number: Registered: Name: E	e or more of your advisory affiliates e of your advisory affiliates eing filed for an advisory affilia affiliate has a CRD number, pr VISORY AFFILIATE O Yes O No LLIOTT ASSOCIATES, L.P. For individuals, Last, First,	ote, give the full name of the advisory a covide that number. If not, indicate "not that number is the covide that number is the covide that number. If not, indicate "not	on-registered" by checking t	
One or more If this DRP is be If the advisory a ADV DRP - ADV CRD Number: Registered: (I) N	e or more of your advisory affiliates e of your advisory affiliates eing filed for an advisory affilia affiliate has a CRD number, pr VISORY AFFILIATE O Yes O No LLIOTT ASSOCIATES, L.P. For individuals, Last, First,	ote, give the full name of the <i>advisory a</i> ovide that number. If not, indicate "no	on-registered" by checking t	
One or more If this DRP is be If the advisory a ADV DRP - ADV CRD Number: Registered: (I) N CRD Number:	e or more of your advisory affiliates e of your advisory affiliates eing filed for an advisory affilia affiliate has a CRD number, pr VISORY AFFILIATE O Yes O No LLIOTT ASSOCIATES, L.P. For individuals, Last, First, liddle)	ote, give the full name of the advisory a covide that number. If not, indicate "not that number is the covide that number is the covide that number. If not, indicate "not	on-registered" by checking t	
One or more If this DRP is be If the advisory a ADV DRP - ADV CRD Number: Registered: (I) Number: Registered: (Registered: (Registe	e or more of your advisory affiliates e of your advisory affiliates eing filed for an advisory affilia effiliate has a CRD number, pr VISORY AFFILIATE O Yes O No LLIOTT ASSOCIATES, L.P. For individuals, Last, First, liddle)	ote, give the full name of the advisory a covide that number. If not, indicate "not that number is the covide that number is the covide that number. If not, indicate "not	on-registered" by checking t	
One or more If this DRP is be If the advisory a ADV DRP - ADV CRD Number: Registered: (I) Number:	e or more of your advisory affiliates e of your advisory affiliates eing filed for an advisory affilia affiliate has a CRD number, pr VISORY AFFILIATE O Yes O No LLIOTT ASSOCIATES, L.P. For individuals, Last, First, liddle)	ote, give the full name of the advisory a covide that number. If not, indicate "not that number is the covide that number is the covide that number. If not, indicate "not	on-registered" by checking t	

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 68 of 80

	event listed in Item 11 that occurred more than ten years ago.	
	$\hfill\Box$ This DRP should be removed from the ADV record because it was filed in circumstances:	n error, such as due to a clerical or data-entry mistake. Explain the
В.	If the <i>advisory affiliate</i> is registered through the IARD system or <i>CRD</i> system the IARD or <i>CRD</i> for the event? If the answer is "Yes," no other information	
	C Yes No	
	NOTE: The completion of this form does not relieve the advisory affiliate of i	ts obligation to update its IARD or <i>CRD</i> records.
PART	· II	
1.	Regulatory Action initiated by:	
	C SEC C Other Federal C State C SRO € Foreign	
	(Full name of regulator, foreign financial regulatory authority, federal, state, SECURITIES AND FUTURES BUREAU (TAIWAN)	or SRO)
2.	Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:	
3.	Date Initiated (MM/DD/YYYY):	
	04/28/2009 © Exact © Explanation If not exact, provide explanation:	
4.	Docket/Case Number: SFB FINE NO. 0980023554	
5.	Advisory Affiliate Employing Firm when activity occurred which led to the reg	gulatory action (if applicable):
6.	Principal Product Type: Equity Listed (Common & Preferred Stock) Other Product Types:	
7.	Describe the allegations related to this regulatory action (your response melliott associates, L.P. and elliott international, L.P. (the private "private funds") were assessed an administrative fine (the "administrative fine fine fine fine fine fine fine fin	E FUNDS LISTED IN EACH SECTION 7.B.(1) OF SCHEDULE D) (TOGETHER, THE ISTRATIVE FINE") BY THE SECURITIES AND FUTURES BUREAU OF TAIWAN
8.	Current Status? C Pending C On Appeal G Final	
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Co	urt) and Date Appeal Filed:
If Fi	nal or On Appeal, complete all items below. For Pending Actions, complete I	tem 13 only.
10.	How was matter resolved: Other	
11.	Resolution Date (MM/DD/YYYY):	
	02/22/2010 © Exact C Explanation	
	If not exact, provide explanation:	
12.	Resolution Detail:	
	A. Were any of the following Sanctions <i>Ordered</i> (check all appropriate ite	ems)?
	✓ Monetary/Fine Amount: \$ 7,300.00	
	Revocation/Expulsion/Denial	☐ Disgorgement/Restitution
	☐ Censure	☐ Cease and Desist/Injunction
	☐ Bar	☐ Suspension
	B. Other Sanctions <i>Ordered:</i>	
	Sanction detail: if suspended, enjoined or barred, provide duration inc	cluding start date and capacities affected (General Securities Principal,

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 69 of 80

Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an *advisory affiliate* date paid and if any portion of penalty was waived:

THE AMOUNT OF THE ADMINISTRATIVE FINE WAS NT\$240,000 (APPROXIMATELY U.S. \$7,300), WHICH, AT THE TIME, REPRESENTED THE MINIMUM FINE PROVIDED UNDER THE SECURITIES AND EXCHANGE ACT OF TAIWAN IN CONNECTION WITH SUCH A LATE FILING. AS NOTED IN ITEM 13 BELOW, THE PRIVATE FUNDS DETERMINED NOT TO APPEAL THE ADMINISTRATIVE FINE TO THE HIGH ADMINISTRATIVE COURT. THE ENTIRE ADMINISTRATIVE FINE WAS PAID ON OR ABOUT JUNE 5, 2009.

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).

UNDER THE RELEVANT TAIWAN REGULATIONS, CERTAIN SHAREHOLDERS OF TAIWANESE PUBLIC COMPANIES MUST REPORT CHANGES IN THEIR OWNERSHIP OF SUCH COMPANIES WITHIN TWO DAYS. HOWEVER, THE REGULATION DOES NOT SPECIFY WHETHER THE DATE OF THE TRANSACTION CAUSING SUCH A CHANGE SHOULD BE COUNTED TOWARDS THE TWO-DAY PERIOD. RELYING UPON ADVICE OF COUNSEL, THE PRIVATE FUNDS REPORTED A CHANGE IN THEIR OWNERSHIP OF A TAIWANESE PUBLIC COMPANY TWO DAYS AFTER THE RELEVANT TRANSACTION. THE SFB TOOK THE POSITION THAT THE FILING WAS MADE ONE DAY LATE, BECAUSE THE DATE OF SUCH TRANSACTION SHOULD HAVE BEEN COUNTED TOWARDS THE TWO-DAY PERIOD. ALTHOUGH THE PRIVATE FUNDS DISAGREE WITH THE SFB'S POSITION, THE PRIVATE FUNDS DETERMINED NOT TO APPEAL THE ADMINISTRATIVE FINE TO THE HIGH ADMINISTRATIVE COURT, CONSIDERING THE DE MINIMIS MONETARY AMOUNT OF THE ADMINISTRATIVE FINE AND THE ANTICIPATED LEGAL COSTS AND EXPENSES IN CHALLENGING THE SFB'S POSITION.

This Disclosure Reporting Page (DRP ADV) is an C INITIAL OR C AMENDED response used to report details for affirmative responses to Items 11 11.E., 11.F. or 11.G. of Form ADV. Regulatory Action Check item(s) being responded to: 11.C(1)			GENERAL INSTRUC		
Check item(s) being responded to: 11.C(1)			NITIAL OR 6 AMENDED respon	se used to report details for aff	firmative responses to Items 11.C., 11.D.
Check item(s) being responded to: 11.C(1)	l1.E., 11.F. or 11.0	G. of Form ADV.			
Check item(s) being responded to: 11.C(1)			Regulatory Ac	tion	
In 1.D(1)	Check item(s) beir	ng responded to:	. 5 ,		
□ 11.E(1) □ 11.E(2) □ 11.E(3) □ 11.E(4) □ 11.F. □ 11.G. □ 11.E(3) □ 11.E(4) □ 11.F. □ 11.G. □ 11.E(3) □ 11.E(4) □ 11.E(4) □ 11.E(3) □ 11.E(4) □ 11.E(1) □ 11.E(1.E(1) □ 11.E(1.E(1) □ 11.E(1) □ 11.E(1.E(1) □ 11.E(1.E(1) □ 11.E(1.E(1) □ 11.E(1.E(1)	11.C(1)	11.C(2)	()		
Use a separate DRP for each event or proceeding. The same event or proceeding may be reported for more than one person or entity using one D with a completed Execution Page. One event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related same event. If an event gives rise to actions by more than one regulator, provide details to each action on a separate DRP. PART I A. The person(s) or entity(ies) for whom this DRP is being filed is (are): C You (the advisory firm) Q You and one or more of your advisory affiliates One or more of your advisory affiliates If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middli If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box. ADV DRP - ADVISORY AFFILIATE One This advisory affiliate is a Firm C an Individual Registered: C Yes Ono Name: ELLIOTT ADVISORS (UK) LIMITED (For individuals, Last, First, Middle) This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the advisor. This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the advisor. This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the advisor.		☑ 11.D(2)		11.D(4)	11.D(5)
Use a separate DRP for each event or proceeding. The same event or proceeding may be reported for more than one person or entity using one D with a completed Execution Page. One event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related same event. If an event gives rise to actions by more than one regulator, provide details to each action on a separate DRP. PART I A. The person(s) or entity(ies) for whom this DRP is being filed is (are): C You (the advisory firm) E You and one or more of your advisory affiliates One or more of your advisory affiliates If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middl If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box. ADV DRP - ADVISORY AFFILIATE CRD This advisory affiliate is © a Firm C an Individual Number: Registered: C Yes © No Name: ELLIOTT ADVISORS (UK) LIMITED (For individuals, Last, First, Middle) This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. This DRP should be removed from the ADV record because the advisory affiliate's favor.	11.E(1)	11.E(2)	11.E(3)	11.E(4)	
One event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related same event. If an event gives rise to actions by more than one regulator, provide details to each action on a separate DRP. PART I A. The person(s) or entity(les) for whom this DRP is being filed is (are): C You (the advisory firm) You and one or more of your advisory affiliates One or more of your advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middl If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box. ADV DRP - ADVISORY AFFILIATE CRD This advisory affiliate is a Firm an Individual Registered: Yes No Name: ELLIOTT ADVISORS (UK) LIMITED (For individuals, Last, First, Middle) This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. This DRP should be removed from the ADV record because the advisory affiliate's favor.	□ 11.F.	□ 11.G.			
PART I A. The person(s) or entity(les) for whom this DRP is being filed is (are): Ou (the advisory firm) You and one or more of your advisory affiliates One or more of your advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middle of the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box. ADV DRP - ADVISORY AFFILIATE CRD	•		ne same event or <i>proceeding</i> ma	y be reported for more than on	ne <i>person</i> or entity using one DRP. File
A. The person(s) or entity(ies) for whom this DRP is being filed is (are): You (the advisory firm) You and one or more of your advisory affiliates One or more of your advisory affiliates If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middl If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box. ADV DRP - ADVISORY AFFILIATE CRD This advisory affiliate is a Firm an Individual Number: Registered: Yes No Name: ELLIOTT ADVISORS (UK) LIMITED (For individuals, Last, First, Middle) This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the adviregistered or applying for registration with the SEC and the event was resolved in the adviser's or advisory affiliate's favor.	One event may res	sult in more than one affirmative a	nswer to Items 11.C., 11.D., 11	E., 11.F. or 11.G. Use only one	e DRP to report details related to the
A. The person(s) or entity(ies) for whom this DRP is being filed is (are): You (the advisory firm) You and one or more of your advisory affiliates One or more of your advisory affiliates If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middl If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box. ADV DRP - ADVISORY AFFILIATE CRD Number: Registered: Yes No Name: ELLIOTT ADVISORS (UK) LIMITED (For individuals, Last, First, Middle) This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. This DRP should be removed from the ADV record because (1) the event or proceeding occurred more than ten years ago or (2) the adviregistered or applying for registration with the SEC and the event was resolved in the adviser's or advisory affiliate's favor.	same event. If an	event gives rise to actions by mor	e than one regulator, provide d	etails to each action on a separ	rate DRP.
You and one or more of your advisory affiliates One or more of your advisory affiliates If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middl If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box. ADV DRP - ADVISORY AFFILIATE CRD This advisory affiliate is a Firm an Individual Number: Registered: Yes No Name: ELLIOTT ADVISORS (UK) LIMITED (For individuals, Last, First, Middle) This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the adviregistered or applying for registration with the SEC and the event was resolved in the adviser's or advisory affiliate's favor.	PART I				
© You and one or more of your advisory affiliates One or more of your advisory affiliates If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middl If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box. ADV DRP - ADVISORY AFFILIATE CRD This advisory affiliate is ® a Firm © an Individual Number: Registered: ○ Yes ® No Name: ELLIOTT ADVISORS (UK) LIMITED (For individuals, Last, First, Middle) This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. This DRP should be removed from the ADV record because the registered or applying for registration with the SEC and the event was resolved in the adviser's or advisory affiliate's favor.	A. The person(s)	or entity(ies) for whom this DRP i	s being filed is (are):		
C One or more of your advisory affiliates If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middle If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box. ADV DRP - ADVISORY AFFILIATE CRD This advisory affiliate is a Firm an Individual Number: Registered: Yes No Name: ELLIOTT ADVISORS (UK) LIMITED (For individuals, Last, First, Middle) This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser.	C You (the a	advisory firm)			
C One or more of your advisory affiliates If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middle If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box. ADV DRP - ADVISORY AFFILIATE CRD	You and o	one or more of your			
If this DRP is being filed for an advisory affiliate, give the full name of the advisory affiliate below (for individuals, Last name, First name, Middle If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box. ADV DRP - ADVISORY AFFILIATE CRD This advisory affiliate is a Firm and an Individual Number: Registered: Yes No Name: ELLIOTT ADVISORS (UK) LIMITED (For individuals, Last, First, Middle) This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the adviregistered or applying for registration with the SEC and the event was resolved in the adviser's or advisory affiliate's favor.			es		
If the advisory affiliate has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box. ADV DRP - ADVISORY AFFILIATE CRD This advisory affiliate is a Firm an Individual Number: Registered: Yes No Name: ELLIOTT ADVISORS (UK) LIMITED (For individuals, Last, First, Middle) This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the adviregistered or applying for registration with the SEC and the event was resolved in the adviser's or advisory affiliate's favor.	O One or mo	ore of your advisory affiliates			
CRD Number: Registered: Organizer No Name: ELLIOTT ADVISORS (UK) LIMITED (For individuals, Last, First, Middle) This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the adviser registered or applying for registration with the SEC and the event was resolved in the adviser's or advisory affiliate's favor.			-	,	
Number: Registered: O Yes O No Name: ELLIOTT ADVISORS (UK) LIMITED (For individuals, Last, First, Middle) This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the adviser registered or applying for registration with the SEC and the event was resolved in the adviser's or advisory affiliate's favor.	ADV DRP - AI	DVISORY AFFILIATE			
Registered: O Yes O No Name: ELLIOTT ADVISORS (UK) LIMITED (For individuals, Last, First, Middle) This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the adviser registered or applying for registration with the SEC and the event was resolved in the adviser's or advisory affiliate's favor.	1.	Т	his advisory affiliate is 🌀 a Firn	n Ĉ an Individual	
Name: ELLIOTT ADVISORS (UK) LIMITED (For individuals, Last, First, Middle) This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the adviser registered or applying for registration with the SEC and the event was resolved in the adviser's or advisory affiliate's favor.	1	0			
LIMITED (For individuals, Last, First, Middle) This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the adviser registered or applying for registration with the SEC and the event was resolved in the adviser's or advisory affiliate's favor.					
(For individuals, Last, First, Middle) This DRP should be removed from the ADV record because the advisory affiliate(s) is no longer associated with the adviser. This DRP should be removed from the ADV record because: (1) the event or proceeding occurred more than ten years ago or (2) the advisered or applying for registration with the SEC and the event was resolved in the adviser's or advisory affiliate's favor.	ivame:	• •			
☐ This DRP should be removed from the ADV record because the <i>advisory affiliate(s)</i> is no longer associated with the adviser. ☐ This DRP should be removed from the ADV record because: (1) the event or <i>proceeding</i> occurred more than ten years ago or (2) the advisered or applying for registration with the SEC and the event was resolved in the adviser's or <i>advisory affiliate's</i> favor.					
☐ This DRP should be removed from the ADV record because: (1) the event or <i>proceeding</i> occurred more than ten years ago or (2) the adviseregistered or applying for registration with the SEC and the event was resolved in the adviser's or <i>advisory affiliate's</i> favor.		Middle)			
☐ This DRP should be removed from the ADV record because: (1) the event or <i>proceeding</i> occurred more than ten years ago or (2) the adviseregistered or applying for registration with the SEC and the event was resolved in the adviser's or <i>advisory affiliate's</i> favor.					
registered or applying for registration with the SEC and the event was resolved in the adviser's or advisory affiliate's favor.	This DRP	should be removed from the ADV	ecord because the advisory affili	iate(s) is no longer associated v	with the adviser.
If you are registered or registering with a state securities authority, you may remove a DRP for an event you reported only in response to I 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP	•				

🗖 This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 70 of 80

	circumstances:	
В.	If the advisory affiliate is registered through the IARD system or CRD system, has the IARD or CRD for the event? If the answer is "Yes," no other information on this	
	C Yes No	
	NOTE: The completion of this form does not relieve the advisory affiliate of its obligate	cion to update its IARD or <i>CRD</i> records.
PART	ART II	
1.	. Regulatory Action initiated by: ☐ SEC ☐ Other Federal ☐ State ☐ SRO ⑥ Foreign	
	(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) AUTORITÉ DES MARCHÉS FINANCIERS	
2.	. Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions:	
3.	. Date Initiated (MM/DD/YYYY):	
	12/27/2012 $^{f C}$ Exact $^{f C}$ Explanation If not exact, provide explanation:	
4.	. Docket/Case Number: DEC-DEJI/2010.65	
5.	. Advisory Affiliate Employing Firm when activity occurred which led to the regulatory a	action (if applicable):
6.	. Principal Product Type: Equity Listed (Common & Preferred Stock) Other Product Types:	
7.	Describe the allegations related to this regulatory action (your response must fit wi on december 28, 2012, Elliott Advisors (UK) Limited ("EAUK") RECEIVED A LET REGULATOR, THE AUTORITÉ DES MARCHÉS FINANCIERS (THE "AMF"), STATING THAT RHIN-RHÔNE ("APRR") BASED ON MATERIAL NONPUBLIC INFORMATION RELATING TO MAJORITY OWNER. THE AMF ALSO STATED THAT ELLIOTT'S APRR PURCHASES DURING PRICE TO BE ARTIFICIALLY INFLATED. ON JANUARY 31, 2013, ELLIOTT MANAGEMENT LETTER OF GRIEVANCE FROM THE AMF. THE LETTER TO EMC DID NOT ASSERT ANY NE	TER OF GRIEVANCE FROM THE FRENCH FINANCIAL MARKET EAUK MAY HAVE PURCHASED THE STOCK OF AUTOROUTES PARIS A POTENTIAL SALE OF ELLIOTT'S APRR STAKE TO EIFFARIE, APRR'S G THE RELEVANT PERIOD MAY HAVE CAUSED THE APRR STOCK CORPORATION ("EMC") RECEIVED A SUBSTANTIALLY IDENTICAL
8.	. Current Status? C Pending © On Appeal C Final	
9.	. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and EAUK AND EMC HAVE APPEALED THE DECISION TO THE PARIS COURT OF APPEALS.	Date Appeal Filed:
If F	f Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 o	nly.
10.	0. How was matter resolved:	
	Decision	
11.	1. Resolution Date (MM/DD/YYYY):	
	05/05/2014 C Exact © Explanation	
	If not exact, provide explanation: EAUK AND EMC HAVE APPEALED THE DECISION TO THE PARIS COURT OF APPEALS.	
12.	2. Resolution Detail:	
	A. Were any of the following Sanctions Ordered (check all appropriate items)?	
	✓ Monetary/Fine Amount: \$ 22,000,000.00	
		sgorgement/Restitution
		ease and Desist/Injunction uspension
	B. Other Sanctions <i>Ordered:</i>	эрспаюн

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 71 of 80

Sanction detail: if suspended, *enjoined* or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an *advisory affiliate* date paid and if any portion of penalty was waived:

THE SANCTIONS COMMISSION OF THE AMF ASSESSED A PENALTY OF 8 MILLION EUROS AGAINST EMC (APPROXIMATELY \$11 MILLION) AND 8 MILLION EUROS AGAINST EAUK. EAUK AND EMC HAVE APPEALED THE DECISION TO THE PARIS COURT OF APPEALS.

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).

ON MAY 5, 2014, EAUK AND EMC RECEIVED A WRITTEN DECISION IN AN ADMINISTRATIVE PROCEEDING FROM THE SANCTIONS COMMISSION OF THE AMF IN FRANCE. THE WRITTEN DECISION RELATED TO ALLEGATIONS BY THE AMF THAT ELLIOTT PURCHASED STOCK OF APRR BASED ON MATERIAL NONPUBLIC INFORMATION AND THAT ELLIOTT MANIPULATED THE STOCK OF APRR. IN THE WRITTEN DECISION, THE SANCTIONS COMMISSION FOUND THAT ELLIOTT HAD USED MATERIAL NONPUBLIC INFORMATION IN THE PURCHASE OF APRR SHARES BETWEEN MAY 28, 2010 AND JUNE 11, 2010 BUT HELD THAT ELLIOTT HAD NOT COMMITTED A MARKET MANIPULATION OR ARTIFICIALLY INFLATED THE PRICE OF APRR SHARES. THE SANCTIONS COMMISSION ASSESSED A PENALTY OF 8 MILLION EUROS AGAINST EMC AND 8 MILLION EUROS AGAINST EAUK, ELLIOTT DISAGREES WITH THE FINDINGS AGAINST EMC AND EAUK IN THIS ADMINISTRATIVE PROCEEDING AND HAS APPEALED THE AMF DECISION TO THE PARIS COURT OF APPEALS. ELLIOTT BELIEVES STRONGLY THAT THE FINDINGS OF THE SANCTIONS COMMISSION AGAINST THE MANAGEMENT COMPANIES REPRESENT A MISAPPLICATION OF FRENCH LAW AND ARE NOT SUPPORTED BY THE EVIDENCE, ELLIOTT'S TRADING IN APRR DID NOT AT ANY TIME MAKE USE OF ANY MATERIAL NONPUBLIC INFORMATION AND WAS FOR A LEGITIMATE BUSINESS PURPOSE. ELLIOTT'S PURCHASES OF APRR STOCK WERE MADE AS PART OF A LONG-STANDING TRADING STRATEGY DATING BACK TO 2005. ELLIOTT PURCHASED APRR STOCK ON OVER 300 TRADING DAYS BETWEEN DECEMBER 2005 AND JUNE 2010. ELLIOTT HAS LONG-STANDING POLICIES AND PROCEDURES IN PLACE TO PREVENT THE MISUSE OF MATERIAL NONPUBLIC INFORMATION. CONSISTENT WITH THOSE PROCEDURES, ELLIOTT HAD A CHINESE WALL IN PLACE WITH RESPECT TO APRR DURING THE PERIOD IN QUESTION, AND NO MATERIAL NONPUBLIC INFORMATION WAS TRANSMITTED TO THE PERSONNEL WHO DIRECTED THE PURCHASES OF APRR STOCK. DESPITE AN INVESTIGATION WHICH INCLUDED EXTENSIVE REVIEWS OF EMAILS, AUDIOTAPED TRADING LINES AND INTERVIEWS WITH WITNESSES, THE AMF OFFERED NO DIRECT EVIDENCE THAT ELLIOTT'S CHINESE WALL WAS BREACHED. NONE OF THE COSTS ASSOCIATED WITH THIS MATTER (INCLUDING THE PENALTY ASSESSED BY THE SANCTIONS COMMISSION AND THE COST OF THE APPEAL) WILL BE BORNE BY THE ELLIOTT FUNDS, AND ELLIOTT CONTINUES TO BELIEVE THAT THIS MATTER WILL NOT HAVE AN ADVERSE IMPACT ON THE FUNDS.

		GENERAL INSTRUC	CTIONS					
This Disclosure	Reporting Page (DRP ADV) is an $_{f C}$ I	INITIAL OR © AMENDED respon	se used to report details for aff	firmative responses to Items 11.C., 11.D.,				
11.E., 11.F. or	11.G. of Form ADV.							
Chack itam(s)	being responded to:	Regulatory Ac	tion					
11.C(1)	11.C(2)	11.C(3)	□ 11.C(4)	☐ 11.C(5)				
11.C(1)	☑ 11.D(2)	11.D(3)	□ 11.C(4)	11.D(5)				
11.E(1)	11.E(2)	11.E(3)	□ 11.E(4)	11.5(3)				
□ 11.E(1)	□ 11.G.	<u> </u>	L 11.L(¬)					
	E 11.G.							
Use a separate	e DRP for each event or <i>proceeding</i> . T	The same event or <i>proceeding</i> ma	y be reported for more than or	ne <i>person</i> or entity using one DRP. File				
with a complet	ed Execution Page.							
				BBB				
	result in more than one affirmative an event gives rise to actions by mo		•	•				
Same event. II	an event gives rise to detions by mo	re than one regulator, provide a	ctans to each action on a separ	die Divi				
PART I								
A. The perso	n(s) or entity(ies) for whom this DRP	is being filed is (are):						
C You (t	he advisory firm)							
	nd one or more of your advisory affilia							
		tes						
⊙ One of	r more of your advisory affiliates							
If this DR	P is being filed for an advisory affiliate	, give the full name of the adviso	ry affiliate below (for individuals	, Last name, First name, Middle name).				
If the <i>adv</i>	isory affiliate has a <i>CRD</i> number, prov	ide that number. If not, indicate	"non-registered" by checking t	he appropriate box.				
-	,							
ADV DRP	ADV DRP - ADVISORY AFFILIATE							
CRD			•					
Number	:	This advisory affiliate is 🌀 a Firr	n 🐸 an Individual					
Register	red: O Yes • No							
Name:	ELLIOTT ADVISORS (UK)							
Name.	LIMITED							
	(For individuals Last First							

Middle)

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 72 of 80 \sqcup This DRP should be removed from the ADV record because the *advisory affiliate(s)* is no longer associated with the adviser. \square This DRP should be removed from the ADV record because: (1) the event or *proceeding* occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC and the event was resolved in the adviser's or advisory affiliate's favor. If you are registered or registering with a state securities authority , you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago. 🗖 This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances: If the advisory affiliate is registered through the IARD system or CRD system, has the advisory affiliate submitted a DRP (with Form ADV, BD or U-4) to the IARD or CRD for the event? If the answer is "Yes," no other information on this DRP must be provided. C Yes 🖸 No NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records. PART II Regulatory Action initiated by: $_{ m C}$ SEC $_{ m C}$ Other Federal $_{ m C}$ State $_{ m C}$ $_{ m SRO}$ $_{ m C}$ Foreign (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) SWISS FEDERAL DEPARTMENT OF FINANCE 2. Principal Sanction: Civil and Administrative Penalt(ies) /Fine(s) Other Sanctions: 3. Date Initiated (MM/DD/YYYY): 05/14/2012 © Exact C Explanation If not exact, provide explanation: Docket/Case Number: 442.2-053 Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable): 5. 6. Principal Product Type: Equity Listed (Common & Preferred Stock) Other Product Types: 7. Describe the allegations related to this regulatory action (your response must fit within the space provided): THE SWISS FEDERAL DEPARTMENT OF FINANCE (THE "FDF") ISSUED A SUMMARY PENALTY ORDER ON MAY 23, 2013 (THE "ORDER") IN WHICH IT FINED ELLIOTT ADVISORS (UK) LIMITED ("EAUK") 25,000 SWISS FRANCS (PLUS PROCEDURAL COSTS OF 1,590 SWISS FRANCS) FOR NOT CAUSING THE ELLIOTT FUNDS AND/OR THEIR SUBSIDIARIES (COLLECTIVELY, THE "FUNDS") TO SEPARATELY REPORT ON A TIMELY BASIS CHANGES IN THE FUNDS' OWNERSHIP OF SHARES OF A COMPANY LISTED ON THE SIX SWISS EXCHANGE AG ("SIXSE") AS IT HAD DONE FOR THE FUNDS' AGGREGATE POSITION IN THE SECURITIES OF SUCH COMPANY. (THE FDF DID NOT DISPUTE THAT EAUK TIMELY MADE ALL REQUISITE FILINGS SHOWING CHANGES IN THE FUNDS' AGGREGATE POSITION IN THE SECURITIES OF SUCH COMPANY.) C Pending C On Appeal C Final Current Status? If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed: If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only. 10. How was matter resolved: Order 11. Resolution Date (MM/DD/YYYY): 05/23/2013 C Exact Explanation If not exact, provide explanation: THE ORDER WAS ISSUED ON MAY 23, 2013. EAUK DETERMINED NOT TO CHALLENGE THE ORDER. 12. Resolution Detail:

A. Were any of the following Sanctions Ordered (check all appropriate items)?

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 73 of 80

	✓ Monetary/	Fine Amount: \$ 26,140.00			
	Revocation	n/Expulsion/Denial		Disgorgement/Restitution	
	Censure			☐ Cease and Desist/Injunction	
	Bar			Suspension	
В.	Other Sanctio	ns <i>Ordered:</i>			
	Financial Oper requalify/retra disgorgement penalty was w	ations Principal, etc.). If req iin, type of exam required ar or monetary compensation, vaived: OF THE FINE WAS 25,000 SV	ualification by exam/retraining nd whether condition has been provide total amount, portion	was a condition of the sanction, satisfied. If disposition resulted levied against you or an <i>advisory</i>	= = =
mus EAU COM	t fit within the : K TIMELY MADE IPANY, BUT INA	space provided). ALL REQUISITE FILINGS REC DVERTENTLY DID NOT ALSO	GARDING CHANGES IN THE FUN SEPARATELY REPORT CHANGE	IDS' AGGREGATE POSITION IN THE S IN THE FUNDS' OWNERSHIP OF S	conditions and dates (your response E SECURITIES OF THE SIXSE-LISTED SHARES OF SUCH COMPANY. UPON ISE AND REPORTED THE INFORMATION.
			CENEDAL INCEDI	ICTIONS	
This Discl	osure Reporting	Page (DRP ADV) is an 🤝 If	GENERAL INSTRU NITIAL ☎ AMENDED respo		rmative responses to Items 11.C., 11.D.,
	F. or 11.G. of Fo		OR () WILLIAM IS 18898	inse useu to report ustano for unit	
	11.0				
			Regulatory A	ction	
	m(s) being resp		T 44 0(2)	-	-
11.C(1	,	11.C(2)	11.C(3)	11.C(4)	11.C(5)
11.D(1		11.D(2)	11.D(3)	11.D(4)	11.D(5)
11.E(1	L)	☑ 11.E(2)	11.E(3)	11.E(4)	
11.F.		☐ 11.G.			
with a co	mpleted Execut	ion Page. more than one affirmative a	nswer to Items 11.C., 11.D., :		DRP to report details related to the ate DRP.
PART I					
	<i>person(s)</i> or en You (the advisor	tity(ies) for whom this DRP i y firm)	s being filed is (are):		
o)	ou and one or	more of your <i>advisory affiliat</i>	oc		
		your advisory affiliates	es		
				ory affiliate below (for individuals, e "non-registered" by checking th	Last name, First name, Middle name). le appropriate box.
AD	V DRP - ADVISO	RY AFFILIATE			
			No Informat	ion Filed	
□ 7	This DRP should	be removed from the ADV r	ecord because: (1) the event	filiate(s) is no longer associated wor proceeding occurred more than solved in the adviser's or advisory	ten years ago or (2) the adviser is
11.	D(4), and only i		han ten years ago. If you are	remove a DRP for an event you r registered or registering with the	reported only in response to Item SEC, you may remove a DRP for any
	This DRP should circumstances:	be removed from the ADV r	record because it was filed in e	rror, such as due to a clerical or d	lata-entry mistake. Explain the
			IARD system or <i>CRD</i> system, "Yes," no other information o	The state of the s	a DRP (with Form ADV, BD or U-4) to

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 74 of 80

	C Yes C No
	NOTE: The completion of this form does not relieve the advisory affiliate of its obligation to update its IARD or CRD records.
'AR1	
1.	Regulatory Action initiated by: C SEC C Other Federal C State SRO C Foreign
	(Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) NEW YORK MERCANTILE EXCHANGE
2.	Principal Sanction: Other Other Sanctions: MONETARY FINE
3.	Date Initiated (MM/DD/YYYY):
	10/28/2014 © Exact C Explanation
	If not exact, provide explanation:
4.	Docket/Case Number: NYMEX 14-9820-BC
5.	Advisory Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):
6.	Principal Product Type:
	Futures - Commodity
	Other Product Types:
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided):
	ON APRIL 23, 2014, THE ELLIOTT FUNDS ENGAGED IN TRANSACTIONS IN NATURAL GAS FUTURES WHICH RESULTED IN THE ELLIOTT FUNDS HOLDING A FUTURES EQUIVALENT POSITION IN EXCESS OF THE SPOT MONTH POSITION LIMIT UNDER NEW YORK MERCANTILE EXCHANGE RULE 562.
8.	Current Status? C Pending C On Appeal Final
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:
If Fi	inal or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.
10.	How was matter resolved:
	Settled
11.	Resolution Date (MM/DD/YYYY):
	10/28/2014 © Exact C Explanation
	If not exact, provide explanation:
12.	Resolution Detail:
	A. Were any of the following Sanctions <i>Ordered</i> (check all appropriate items)?
	✓ Monetary/Fine Amount: \$ 30,000.00
	☐ Revocation/Expulsion/Denial ☐ Disgorgement/Restitution
	☐ Cease and Desist/Injunction
	☐ Bar ☐ Suspension
	B. Other Sanctions <i>Ordered:</i>
	Sanction detail: if suspended, <i>enjoined</i> or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an <i>advisory affiliate</i> date paid and if any portion of penalty was waived: ELLIOTT MANAGEMENT CORPORATION ("EMC") PAID A FINE IN THE AMOUNT OF \$30,000 PROMPTLY FOLLOWING SETTLEMENT OF THIS ACTION.
13.	Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response
	must fit within the space provided). ON APRIL 23, 2014, THE ELLIOTT FUNDS ENGAGED IN TRANSACTIONS IN NATURAL GAS FUTURES WHICH RESULTED IN THE ELLIOTT FUNDS HOLDING A
	The second of th

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 75 of 80

FUTURES EQUIVALENT POSITION IN EXCESS OF THE SPOT MONTH POSITION LIMIT UNDER NEW YORK MERCANTILE EXCHANGE RULE 562. ON OCTOBER 28, 2014, A PANEL OF THE NYMEX BUSINESS CONDUCT COMMITTEE ACCEPTED EMC'S OFFER OF SETTLEMENT PURSUANT TO WHICH EMC AGREED TO PAY A FINE IN THE AMOUNT OF \$30,000 WHILE NEITHER ADMITTING OR DENYING ANY RULE VIOLATION. EMC PAID THIS AMOUNT PROMPTLY FOLLOWING SETTLEMENT OF THIS ACTION. THE ELLIOTT FUNDS WERE NOT ASSESSED ANY FINE.

This Disclosure Repo 11.E., 11.F. or 11.G.		GENERAL INSTRUC NITIAL OR © AMENDED respons		irmative responses to Items 11.C., 11.D
		Regulatory Act	ion	
Check item(s) being				_
11.C(1)	11.C(2)	11.C(3)	11.C(4)	11.C(5)
11.D(1)	11.D(2)	11.D(3)	11.D(4)	11.D(5)
11.E(1)	☑ 11.E(2)	11.E(3)	11.E(4)	
11.F.	□ 11.G.			
Use a separate DRP with a completed Ex	,	he same event or <i>proceeding</i> ma	be reported for more than or	ne <i>person</i> or entity using one DRP. File
	It in more than one affirmative avent gives rise to actions by mor			e DRP to report details related to the rate DRP.
PART I				
	or entity(ies) for whom this DRP i	s being filed is (are):		
	e or more of your <i>advisory affiliat</i>	es		
C One or more	e of your <i>advisory affiliates</i>			
	eing filed for an <i>advisory affiliate,</i> affiliate has a <i>CRD</i> number, provi	•	,	, Last name, First name, Middle name). he appropriate box.
ADV DRP - ADV	/ISORY AFFILIATE			
,		No Informatio	n Filed	
This DRP sh	ould be removed from the ADV rould be removed from the ADV rould applying for registration with	ecord because: (1) the event or	proceeding occurred more than	n ten years ago or (2) the adviser is
11.D(4), and o		han ten years ago. If you are re		reported only in response to Item e SEC, you may remove a DRP for any
☐ This DRP sh circumstand		record because it was filed in err	or, such as due to a clerical or	data-entry mistake. Explain the
,	affiliate is registered through the D for the event? If the answer is		,	ed a DRP (with Form ADV, BD or U-4) to
C Yes ⊙ N	No			
NOTE: The com	npletion of this form does not rel	ieve the <i>advisory affiliate</i> of its ob	ligation to update its IARD or o	CRD records.
PART II				
 Regulatory Action SEC Oth 	on initiated by: er Federal OState OSRO ([©] Foreign		
	egulator, foreign financial regulato		RO)	
2. Principal Sancti	on:			
Disgorgement Other Sanction MONETARY FIN				

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 76 of 80

3.	Date Initiated (MM/DD/YYYY):			_
	10/28/2014			
	If not exact, provide explanation:			
4.	Docket/Case Number:			
	CBOT 14-9838-BC			
5.	Advisory Affiliate Employing Firm when activity occurre	ed which led to the regulat	ory action (if applicable):	
٥.	havisory himate Employing him when decivity occurre	ou which led to the regular	iory decion (ii applicable).	
6	Principal Product Type:			
0.	Futures - Commodity			
	Other Product Types:			
	,,			
7	Describe the allegations related to this regulatory act	tion (vour response must	fit within the space provided):	
	ON MAY 8 AND MAY 9, 2014, THE ELLIOTT FUNDS ENG	**		ITRACTS THAT RESULTED IN THE FLLIOTT
	FUNDS HOLDING A FUTURES EQUIVALENT POSITION I			
		•		
8.	Current Status? C Pending C On Appeal	Final		
9.	If on appeal, regulatory action appealed to (SEC, SRC	O, Federal or State Court)	and Date Appeal Filed:	
If Fi	Final or On Appeal, complete all items below. For Pendir	ng Actions, complete Item	13 only.	
10.	. How was matter resolved:			
	Settled			
11	. Resolution Date (MM/DD/YYYY):			
	, , ,			
	10/28/2014 © Exact C Explanation			
	If not exact, provide explanation:			
12.	. Resolution Detail:			
	A. Were any of the following Sanctions Ordered (ch	neck all annronriate items	.?	
	✓ Monetary/Fine Amount: \$ 20,000.00	iodic diii dppropriate iteliio,	•	
		,		
	Revocation/Expulsion/Denial		Disgorgement/Restitution	
	Censure		Cease and Desist/Injunction	
	☐ Bar	ļ	Suspension	
	B. Other Sanctions Ordered:			
	Sanction detail: if suspended, enjoined or barred	, ,	•	` ' '
	Financial Operations Principal, etc.). If requalification requalify/retrain, type of exam required and who	,	·	
	disgorgement or monetary compensation, provi		•	
	penalty was waived:	, ,	.	, , , , ,
	ELLIOTT MANAGEMENT CORPORATION ("EMC") P	AID A FINE IN THE AMOU	NT OF \$20,000 AND PAID \$125,0	082.24 REPRESENTING DISGORGEMENT
	OF PROFITS PROMPTLY FOLLOWING SETTLEMEN	T OF THIS ACTION.		
13.	. Provide a brief summary of details related to the acti	on status and (or) dispos	tion and include relevant terms	, conditions and dates (your response
	must fit within the space provided).			
	ON MAY 8 AND MAY 9, 2014, THE ELLIOTT FUNDS ENG	AGED IN TRANSACTIONS	IN SOYBEAN MEAL FUTURES CON	TRACTS THAT RESULTED IN THE ELLIOTT
	FUNDS HOLDING A FUTURES EQUIVALENT POSITION I	N EXCESS OF THE STANDA	ARD ALL MONTHS LIMIT UNDER (CHICAGO BOARD OF TRADE RULE 562.
	ON OCTOBER 28, 2014, A PANEL OF THE CHICAGO BC			
	PURSUANT TO WHICH EMC AGREED TO PAY A FINE IN WHILE NEITHER ADMITTING OR DENYING ANY RULE V.		· ·	
	ELLIOTT FUNDS WERE NOT ASSESSED ANY FINE AND I			VING SETTLEMENT OF THIS ACTION. THE
	TELEST TO THE WEIGHT HOLD TO THE AND I	2.2 1101 1 WILL ANTI DISOC		
		GENERAL INSTRU	CTIONS	
This	o Disclosure Reporting Page (DRP ADV) is an $_{f C}$ INITIAL			irmative responses to Items 11.C., 11.D.,
	E., 11.F. or 11.G. of Form ADV.	• • • • • • • • • • • • • • • • • • •	·	
	,			
		Regulatory Ac	tion	
	eck item(s) being responded to:			
1	11.C(1)	11.C(3)	11.C(4)	11.C(5)

		Case 1:15	5-mc-00205-l	LGS-SN	Document 5-11	Filed 07/13/15	Page 77 of 80
	11.D(1)	1	□ 11.D(2)		11.D(3)	11.D(4)	11.D(5)
	11.E(1)		11.E(2)		11.E(3)	11.E(4)	
	11.F.	ı	☑ 11.G.				
111		RP for each eve Execution Page		The same eve	ent or <i>proceeding</i> may be rep	ported for more than one	e person or entity using one DRP. File
One	event may re	esult in more th	nan one affirmative	answer to Ite	ems 11.C., 11.D., 11.E., 11.	F. or 11.G. Use only one	DRP to report details related to the
sam	e event. If ar	n event gives ri	se to actions by mo	ore than one r	regulator, provide details to	each action on a separa	ite DRP.
PAR	ΤΙ						
A.	· · · · · · · · · · · · · · · · · · ·		for whom this DRP	is being filed	is (are):		
	~	advisory firm)					
			your advisory affilia	ates			
	⊙ One or m	nore of your _{ad}	visory affiliates				
		_			name of the <i>advisory affiliat</i> ber. If not, indicate "non-re		Last name, First name, Middle name). e appropriate box.
	ADV DRP - A	ADVISORY AFFII	LIATE				
	CRD Number:			This advisory	affiliate is © a Firm O ar	n Individual	
	Registered	l: O Yes ⊙ N					
	Name:		ERNATIONAL, L.P. als, Last, First,				
		Middle)	213, 2430, 11130,				
B. PAR	registered If you are r 11.D(4), an event listed This DRP circumsta If the adviso the IARD or Yes NOTE: The control	ed or applying f egistered or reg d only if that ev i in Item 11 that e should be rem ances: ery affiliate is reg CRD for the eve	for registration with a star yent occurred more to occurred more the occurred more the oved from the ADV gistered through the ent? If the answer is	the SEC and the securities a than ten yea an ten years record becau e IARD syster is "Yes," no o	the event was resolved in authority, you may remove ars ago. If you are registered ago. se it was filed in error, such	the adviser's or advisory a DRP for an event you in d or registering with the in as due to a clerical or of dvisory affiliate submitted P must be provided.	reported only in response to Item SEC, you may remove a DRP for any lata-entry mistake. Explain the
1.		Action initiated					
	(Full name o	of regulator, fore	C State C SRO eign financial regular COMMISSION (GRI	tory authority,	federal, state, or <i>SRO</i>)		
2.	Principal Sar	nction:					
	Other Sanct	ions:					
3.	Date Initiate	d (MM/DD/YYYY	′):				
	If not exact,	C Exact © , provide explar RY LETTER REC	nation:				
4.	Docket/Case 132/15.1.20						
5.	Advisory Affil	liate Employing	Firm when activity	occurred which	ch led to the regulatory action	on (if applicable):	

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 78 of 80

6.	Principal Product Type: Equity Listed (Common & Preferred Stock) Other Product Types:						
7.	Describe the allegations related to this regulatory action (your response must fit within the space provided): ELLIOTT INTERNATIONAL, L.P. (A PRIVATE FUND LISTED IN SECTION 7.B.(1) OF SCHEDULE D) (THE "PRIVATE FUND") HAS RECEIVED A LETTER FROM THE HELLENIC CAPITAL MARKET COMMISSION (THE "HCMC") ALLEGING THAT, IN THE VIEW OF THE HCMC, THE PRIVATE FUND VIOLATED AN EU SHORT-SELLING RULE BY PLACING A SHORT-SALE ORDER FOR A SECURITY ON THE DAY BEFORE THE SECURITY WAS APPROVED FOR TRADING, WITHOUT ADEQUATELY ENSURING THAT THE SECURITY WOULD BE AVAILABLE FOR SETTLEMENT WHEN DUE.						
8.	Current Status?						
9.	If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Cour	t) and Date Appeal Filed:					
If F	inal or On Appeal, complete all items below. For Pending Actions, complete Ite	m 13 only.					
10.	How was matter resolved:						
11.	Resolution Date (MM/DD/YYYY):						
	C Exact C Explanation						
	If not exact, provide explanation:						
12.	Resolution Detail:						
	A. Were any of the following Sanctions <i>Ordered</i> (check all appropriate item	s)?					
	☐ Monetary/Fine Amount: \$	-					
	☐ Revocation/Expulsion/Denial ☐ Censure	Disgorgement/Restitution					
	□ Censure □ Bar	☐ Cease and Desist/Injunction ☐ Suspension					
	B. Other Sanctions <i>Ordered</i> :	Suspension					
12	Sanction detail: if suspended, <i>enjoined</i> or barred, provide duration inclusion financial Operations Principal, etc.). If requalification by exam/retraining requalify/retrain, type of exam required and whether condition has bee disgorgement or monetary compensation, provide total amount, portion penalty was waived: Provide a brief summary of details related to the action status and (or) disposed.	g was a condition of the sanction, provide length of time given to n satisfied. If disposition resulted in a fine, penalty, restitution, n levied against you or an <i>advisory affiliate</i> date paid and if any port	ion o	f			
13.	13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).						
	THE HCMC REQUESTED THE PRIVATE FUND'S VIEW ON THE FOREGOING ALLEC 2015, THE PRIVATE FUND RESPONDED TO THE HCMC'S LETTER CONTESTING TIN FACT ENSURE THAT THE RELEVANT SECURITY WOULD BE AVAILABLE FOR SELLING RULE. IT DID SO BY ENTERING INTO A BINDING AGREEMENT TO ACCUMENT OF THE SHORT SALE. IN FACT, IN ACCORDANCE WITH SUCH DATE AND WERE DELIVERED TO THE BUYER ON THE SETTLEMENT DATE. THIS	THE ALLEGATION. IN THE LETTER, THE PRIVATE FUND STATED THAT I'S ETTLEMENT WHEN DUE IN ACCORDANCE WITH THE RELEVANT EU SHUIRE THE SECURITY TO BE DELIVERED PRIOR TO THE SETTLEMENT DAGREEMENT, THE SHARES WERE ACQUIRED PRIOR TO THE SETTLEM	T DII HORT DATE				
CIV	L JUDICIAL ACTION DISCLOSURE REPORTING PAGE (ADV)						
	nformation Filed						
NO I	normation Filed			_			
Part	2						
Exe	mption from brochure delivery requirements for SEC-registered advisers						
	rules exempt SEC-registered advisers from delivering a firm brochure to some thure to <i>all</i> of your advisory clients, you do not have to prepare a brochure.		Yes	No			
Are	you exempt from delivering a brochure to all of your clients under these rules						
	If no, complete the ADV Part 2 filing below.						
1, 1,	If no, complete the ADV rait 2 ming below.						
Ame	nd, retire or file new brochures:						

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 79 of 80

Brochure ID	Brochure Name	Brochure Type(s)
98568	FORM ADV PART 2A - MARCH 31, 2015	Private funds or pools

Execution Pages

DOMESTIC INVESTMENT ADVISER EXECUTION PAGE

You must complete the following Execution Page to Form ADV. This execution page must be signed and attached to your initial submission of Form ADV to the SEC and all amendments.

Appointment of Agent for Service of Process

By signing this Form ADV Execution Page, you, the undersigned adviser, irrevocably appoint the Secretary of State or other legally designated officer, of the state in which you maintain your *principal office and place of business* and any other state in which you are submitting a *notice filing*, as your agents to receive service, and agree that such *persons* may accept service on your behalf, of any notice, subpoena, summons, *order* instituting *proceedings*, demand for arbitration, or other process or papers, and you further agree that such service may be made by registered or certified mail, in any federal or state action, administrative *proceeding* or arbitration brought against you in any place subject to the jurisdiction of the United States, if the action, *proceeding*, or arbitration (a) arises out of any activity in connection with your investment advisory business that is subject to the jurisdiction of the United States, and (b) is *founded*, directly or indirectly, upon the provisions of: (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (ii) the laws of the state in which you maintain your *principal office and place of business* or of any state in which you are submitting a *notice filing*.

Signature

I, the undersigned, sign this Form ADV on behalf of, and with the authority of, the investment adviser. The investment adviser and I both certify, under penalty of perjury under the laws of the United States of America, that the information and statements made in this ADV, including exhibits and any other information submitted, are true and correct, and that I am signing this Form ADV Execution Page as a free and voluntary act.

I certify that the adviser's books and records will be preserved and available for inspection as required by law. Finally, I authorize any *person* having *custody* or possession of these books and records to make them available to federal and state regulatory representatives.

Signature: Date: MM/DD/YYYY
PAUL SINGER 03/31/2015
Printed Name: Title:

PAUL SINGER PRESIDENT, DIRECTOR, CEO, CO-CHIEF INVESTMENT OFFICER

Adviser CRD Number:

156601

NON-RESIDENT INVESTMENT ADVISER EXECUTION PAGE

You must complete the following Execution Page to Form ADV. This execution page must be signed and attached to your initial submission of Form ADV to the SEC and all amendments.

1. Appointment of Agent for Service of Process

By signing this Form ADV Execution Page, you, the undersigned adviser, irrevocably appoint each of the Secretary of the SEC, and the Secretary of State or other legally designated officer, of any other state in which you are submitting a *notice filing*, as your agents to receive service, and agree that such persons may accept service on your behalf, of any notice, subpoena, summons, *order* instituting *proceedings*, demand for arbitration, or other process or papers, and you further agree that such service may be made by registered or certified mail, in any federal or state action, administrative *proceeding* or arbitration brought against you in any place subject to the jurisdiction of the United States, if the action, *proceeding* or arbitration (a) arises out of any activity in connection with your investment advisory business that is subject to the jurisdiction of the United States, and (b) is *founded*, directly or indirectly, upon the provisions of: (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (ii) the laws of any state in which you are submitting a *notice filing*.

2. Appointment and Consent: Effect on Partnerships

If you are organized as a partnership, this irrevocable power of attorney and consent to service of process will continue in effect if any partner withdraws from or is admitted to the partnership, provided that the admission or withdrawal does not create a new partnership. If the partnership dissolves, this irrevocable power of attorney and consent shall be in effect for any action brought against you or any of your former partners.

3. Non-Resident Investment Adviser Undertaking Regarding Books and Records

By signing this Form ADV, you also agree to provide, at your own expense, to the U.S. Securities and Exchange Commission at its principal office in Washington D.C., at any Regional or District Office of the Commission, or at any one of its offices in the United States, as specified by the Commission, correct, current, and complete copies of any or all records that you are required to maintain under Rule 204-2 under the Investment Advisers Act of 1940. This undertaking shall be binding upon you, your heirs, successors and assigns, and any *person* subject to your written irrevocable consents or powers of attorney or any of your general partners and *managing agents*.

Signature

Case 1:15-mc-00205-LGS-SN Document 5-11 Filed 07/13/15 Page 80 of 80

I, the undersigned, sign this Form ADV on behalf of, and with the authority of, the *non-resident* investment adviser. The investment adviser and I both certify, under penalty of perjury under the laws of the United States of America, that the information and statements made in this ADV, including exhibits and any other information submitted, are true and correct, and that I am signing this Form ADV Execution Page as a free and voluntary act.

I certify that the adviser's books and records will be preserved and available for inspection as required by law. Finally, I authorize any *person* having *custody* or possession of these books and records to make them available to federal and state regulatory representatives.

Signature: Date: MM/DD/YYYY

Printed Name: Title:

Adviser CRD Number:

156601